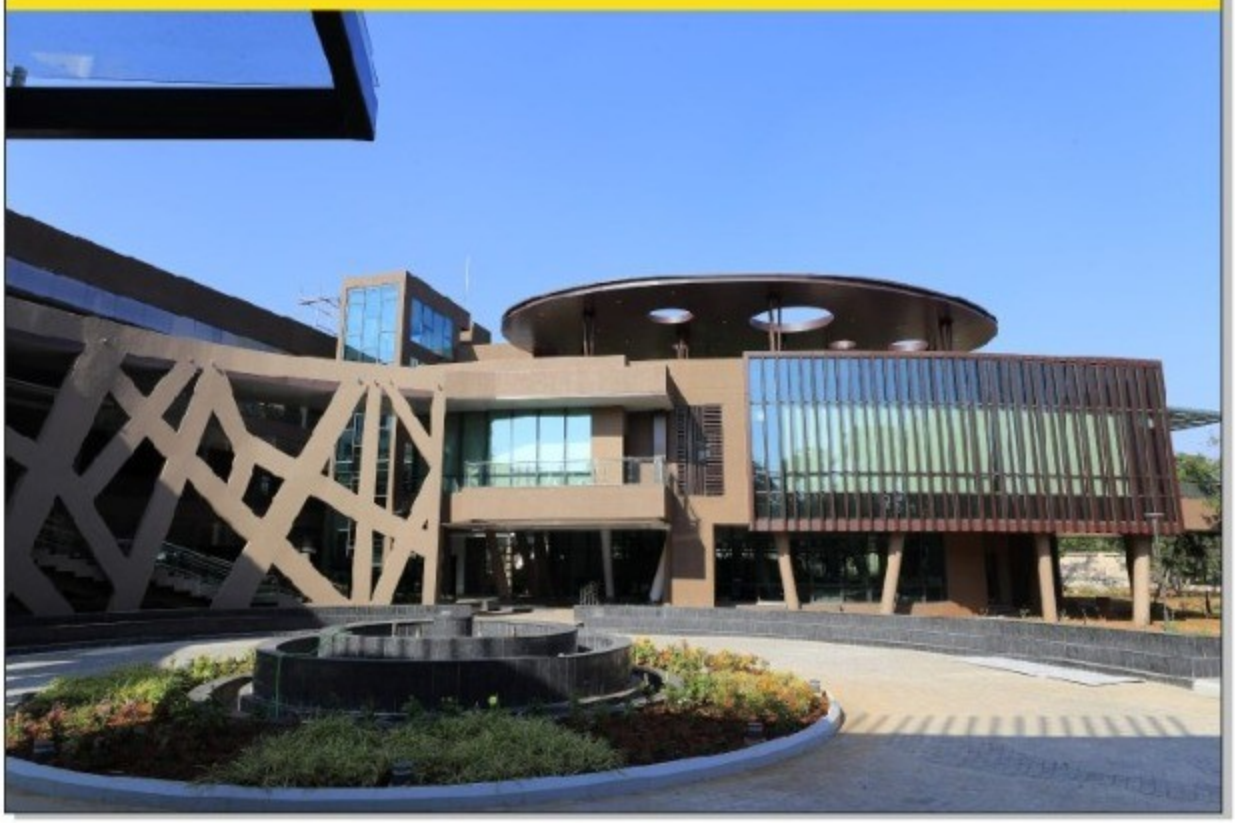
भारतीय रेल वित्तीय प्रबंधन संस्थान
INDIAN RAILWAYS INSTITUTE OF FINANCIAL MANAGEMENT
(रेल मंत्रालय / MINISTRY OF RAILWAYS)
Moula Ali, Secunderabad-500040

IRIFM

समुह 'ख' आधारिक पाठ्य सामग्री

Reading Material for Group B Foundation Programme



Reading Material for Group B Foundation Programme

February'2019
Version- 1.

PART-II

GOLDEN PEACOCK AWARDS
Winner of National Training 2019

ISO 9001-2015 | ISO 14001-2015 | OHSAS 18001:2007

Objective:

Objective of Group B Foundation Programme at the Academy is to sensitize the trainees regarding working aspects of all the departments of Indian Railways.

It is appreciated that you are the most important asset of Indian Railways (IR) and that IR is more than a transporter. Your stay during this programme at the Academy would give a strong professional foundation through training and development. It would help you to realize your full potential as leaders of this great institution, that keeps the wheels of the Indian economy moving and understand the significance of your responsibility. The Academy strives for your all-round development and to prepare you for your interaction with varied cross section of stakeholders, be that be with the employees, passengers, customers or the vendors as people form their opinions and perception about IR through you.

Please remember that each one of you has his or her own sphere of influence which can bring about a change.

(i) This reading material would help the trainee officers during their course curriculum as a pre read. Reading material is exhaustive and would have more information than what could be covered in the classrooms.

(ii) The reading material will get matured over a period of time based on feedback received and further versions issued. Your feedback is important to us. Please share the same at spme@nair.railnet.gov.in.

(iii) This reading material is indicative; either in presentation form to give you pointers or in a text form and is assimilated chapter/topic vise for an easy read.

(iv) Issue of this copy in bilingual is under process.

(v) Reading material as provided from FM's has been collated and to be used only for a better understanding as enumerated during class rooms.

(vi) Thanks are due to Shri Nigam Prasad, LIO without whose efforts this work would not have been possible.

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Managing Ethics

Reading Material

- Participants are advised and encouraged to read following literature –
  - **The Ethics Challenge in Public Service** (A Problem-Solving Guide) by Carol W. Lewis Stuart C. Gilman
  - **Ethics Management for Public Administrators** by Donald C. Menzel
  - **Managing Business Ethics** by Trevino & Nelson
  - **The story of My Experiments with Truth** by Mahatma Gandhi

2

Overview

- Quiz
- Can Ethics be taught?
- Defining Ethics
- Ethical dilemmas
- Managing ethical conduct
- Ethical decision making
- Ethics in organization

3





EMISSIONGATE or DIESELGATE, VOLKSWAGEN, 2015
($15 bn. & counting)

5

About Volkswagen Episode

- Volkswagen employees, working feverishly in pursuit of impossible sales targets, resorted to illegal methods
- Volkswagen, a great corporate success story, was gravely undermined by the company's lack of ethical foundation

(Book: *Faster, Higher, Farther: The Inside Story of the Volkswagen Scandal by Jack Ewing)*

6



Park Geun-hye And Choi Soon-sil,
South Korea, 2016

7



Ramalinga Raju, Satyam, 2009

8



Suresh Kalmadi



CWG, 2010



Lalit Bhanot

9



Sandpaper-gate, Australian Cricket Team, 2018

10

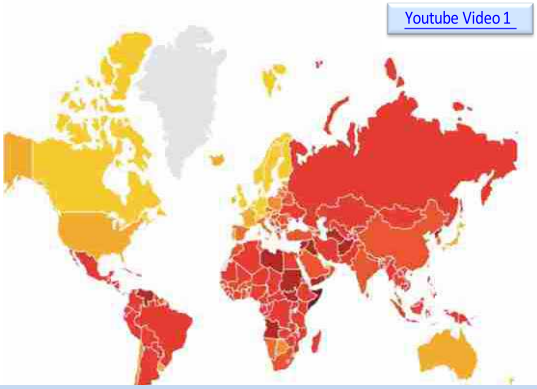


Nirav Modi, PNB LoU Scam, Rs 12000 cr, 2018

11

CORRUPTION PERCEPTIONS INDEX 2017

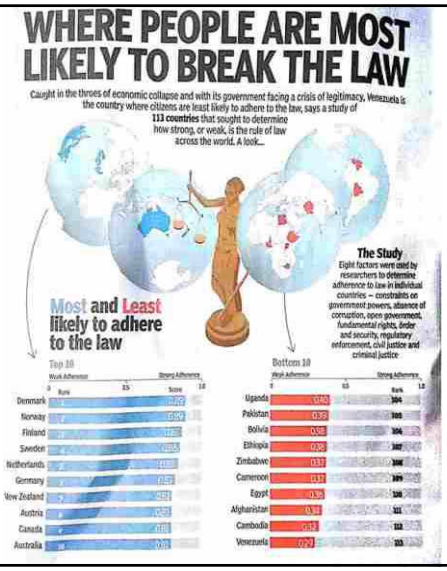
Youtube Video 1



Corruption Perceptions Index (**CPI**) published by Transparency International, ranks countries "*by their perceived levels of corruption*" CPI defines corruption as "the misuse of public power for private benefit."

TRANSPARENCY INTERNATIONAL

12



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CYNICISM: IS IT THE RIGHT APPROACH?

14

Cynicism: is it the right approach?

- Honest is respected
- King's Pond
- Proactive approach to change things
- Be the change you want to see in the world

15

Activity

- One thing you are proud of
  - About your Country
  - About your Organization

16

ETHICS IN GOVERNMENT

17

What is the business of Government?

- Producing public goods and services such as
  - justice,
  - transportation,
  - air and water quality,
  - consumer and occupational safety,
  - national security, and
  - protection from the misfortunes
  - etc

Then why Ethical Government is important?

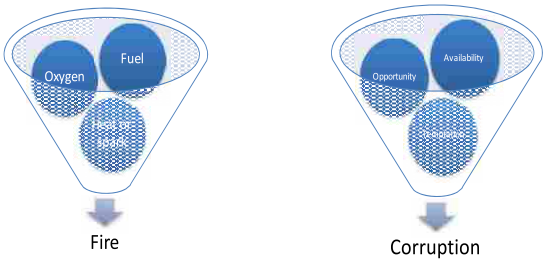
18

Without ethical government, the effective production of public goods and services is not likely.



19

Corruption Triangle



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For an Organization

OPPORTUNITIES & CHALLENGES

21

Opportunities

- Brand building
  - Customer loyalty
- Govt. incentives
- Employee Attraction and Commitment
- Provides guidelines for decision making
- Society Cares about Ethics: Business and Social Responsibility

22

Challenges

- Conflict of interest
  - Individual vs. organization
  - Organization vs. society
- Complex regulations
- Not easy to practice
- Target/ Profit focus

23

CAN ETHICS BE TAUGHT?

24

Second thoughts?

Aren't Bad apples the only problem?

- Or something rotten inside the organization is spoiling the apples?

Aren't adults unchangeable?

Research shows otherwise

- *Young adults in their twenties and thirties who attend moral development educational programs have been found to advance in moral reasoning even more than younger individuals do**

*H. C. Triandis, "A Theoretical Framework for the More Efficient Construction of Culture Assimilators," International Journal of Intercultural Relations

25

Case for Training on Ethical Conduct

- Ethical behavior is learned behavior
- Making ethical decisions in today's complex organizations isn't easy
- Training in ethics is important to avoid pitfalls
- Management's responsibility to direct attention to the ambiguities and ethical gray areas
  - training in what the law says,
  - what the rules mean, and
  - what one needs to do to stay out of trouble

26

DEFINING ETHICS

27

Some definitions

Ethics
"the principles, norms, and standards of conduct agreed upon by society governing an individual or group"

Choice of the right path

Aristotle: Golden mean in every situation of conflict. Every virtue is a mean between two extremes.

28

Ethics

How you behave when nobody is looking at you

Giving without any expectation
Taking with attitude of gratitude

29

Ethics & Values



Ethics is about conduct

30

Ethics & Values

- Ethics is values in action
- Morals are core beliefs about life, humanity, and nature
- Ethics & values are not coded

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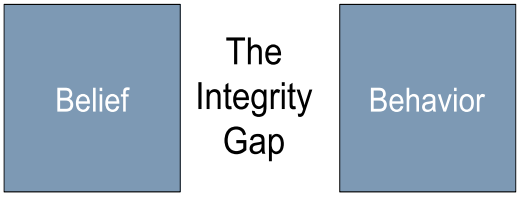
The Integrity Gap



Matching our belief system to our actions (the external with the internal)

Sources of Moral Principles

- Formation of our moral standards/principles:
  - Early upbringing, behaviour of others, own experiences and critical reflections on them
- Religious traditions
  - Christianity, Judaism in West; Islam, Hinduism, Buddhism in East
- Social & cultural norms, law
- Our industry, firm, profession, colleagues
  - Professional codes of conduct (inc. unwritten)
  - Ethical maxims

33

Where do we learn values?

- Parents
- Teachers
- Peers
- Religion
- Society
- Nature

34

Family & School are cradles of Ethics

- Good socialization
- Good education
- Morality & idealism
- Right expectation
- Appreciation & criticism

35

Activity

- Write your name on a piece of paper
- How many bosses you have had till now?
- Write 3 qualities of best boss

36

Kite

"A newspaper is better than a magazine. A seashore is a better place than a street. At first it is better to run than to walk. You may have to try several times. It takes some skill, but it is easy to learn. Even young children can enjoy it. Once successful, complications are minimal. Birds seldom get too close. Rain, however, soaks in very fast. Too many people doing the same thing can also cause problems. One needs lots of room. If there are no complications it can be very peaceful. A rock will serve as an anchor. If things break loose from it, however, you will not get a second chance."

37



ETHICS & LAW

38

To be legal or ethical?

- Laws - reflect society's minimum norms and standards of conduct
- Law-abiding behavior is also ethical behavior?
  - Having an affair with someone who reports to you?
- Govt. regulations often play catch-up after ethical debacles
- Some laws can be considered unethical
  - Weak pollution norms – should it be exploited?

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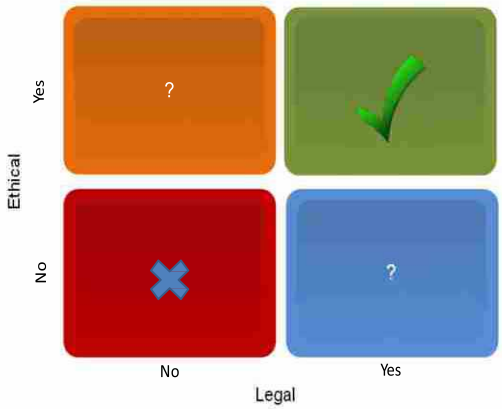
Ethical vs. Legal



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ETHICAL DILEMMAS

41

Is there a dilemma?

- Many ethical choices are clear-cut enough that we can decide what to do rather easily because they pit ''right'' against ''wrong''
- Black and white – Fairly clear – straight forward, most people feel the same way about: stealing, murder, honesty, charity.
- But there are situations which present deep ethical dilemma Video

42

Cases

- Please discuss the issue in your groups (5 mins)
- Present your point of view for the questions posed. (5 mins)
- Counter points

43

Auction in Office

Pran, the bank employee, approaches Bank Manager Dev and says following:

My child is suffering from blood cancer. I don't have health insurance policy and my salary is insufficient to meet these medical expenses.

But over the years, I've been collecting autographed bats and balls of various cricketers.

I seek your permission to hold a charity auction in the office. I'll also send fliers to clients of our bank. Everyone is welcome to bid for these bats and balls, so I can raise money for the medical treatment of my child.

Three other bank employees-Prem Chopra, Madan Puri and Ranjith overhear this conversation. They also inform Dev – indeed Pran's financial situation is very bad and his child will die if the treatment is not done on time, therefore permission should be given to hold this charity auction.

- Should Dev give permission or not?

44

The Printer Discount

- Janardan is upgrading his department's data processing capabilities and has just placed an order for four personal computers and two laser printers with a computer company representative. The material is delivered & paid for. After a month's time, Janardan asks the computer company representative that he wishes to buy a printer at home like the ones he had ordered. The representative tells him that as per the company's ongoing scheme, because of his large order, she can give him a 50 percent discount on a printer for his home. Janardan feels that this is not quite right, but he's not sure why.

Should Janardan accept the Printer Discount? Is there a conflict of interest?

45

Rampur Thana

Dev is the inspector in charge of Rampur Police station. The police station building is damaged & in dire need of repairs, but hasn't received any grants for years. One day, a cyclone hits a nearby area, damaging most of the houses and shops. Government sends a disaster assessment team to ascertain the level of damage and pay relief money. The DSP orders Dev to do following:

Hire some laborers and destroy the remaining parts of your police station building. When disaster assessment team comes, you tell them building collapsed by the cyclone, and ask them to give priority in funding after all police station is one the most important public offices in a town.

- Should Dev obey his boss's order?
- What if boss asks to just tell that the poor condition of building is due to cyclone damage? Should Dev obey this order?

46

Valor, Compliance and Compassion

The deadliest incident of *domestic* terrorism in the United States, which occurred on the morning of April 19, 1995, has special significance for public administrators because the target was government employees, working in the Murrah Federal Building. Fully 60 percent of the 168 fatalities and 40 percent of the 647 injured were federal and state government employees.

The long, dangerous, and frustrating rescue operation ensued. Eighty-six minutes after the blast, all personnel were ordered directly and repeatedly to evacuate the Murrah Building and immediate area because a possible secondary explosive device was spotted; rescue operations resumed after 54 minutes.

The first rule for those responding to an emergency is not to become victims themselves .Three officers made a different decision; they remained with victims despite the personal risk and successfully brought them to safety.

In May 1996, the highest service award, the Police Medal of Honour, was awarded to the three officers.

- *Would you have awarded these medals? Why yes or why not?*

47

A Late Night Surprise

Dennis, the head of a financially strapped municipality, is working uncharacteristically late at night. The offices are empty and quiet as he is leaving. He notices light coming from the door of the new budget director, Susan. He decides to stop in and praise her for her excellent report in which she discovered errors that will save the city millions, projecting for the first time in many years a budget surplus. As he approaches her office, he can see through the few inches the door is open that she is in a passionate embrace with Gary, the assistant city manager. Employment policy strictly forbids affair between employees, threatening dismissal to those who do.

Dennis's code of ethics requires him to enforce this policy, yet at the same time he does not want to lose either or both of his valuable employees. It would be difficult, if not impossible, to bring in someone else with their experience and credentials for the amount of money the city is able to pay.

- What should Dennis do?
  - Should he report Susan and Gary, in accordance with policy?
  - Should he overlook the situation, believing the city will be best served in the long run?
  - Should he speak to each of them and threaten to tell if they don't end the relationship?

The Contract

An influential community leader lets you know that you are expected to sign off on a shoddy job by an independent contractor with political connections in towns across the state. You suppose that this leader sincerely wants to avoid a public ruckus that could embarrass your municipality and believes that a possible malfunction wouldn't really *hurt* anyone. Although you genuinely disapprove, as a sole-supporting, single parent you can ill-afford the luxury of intemperate indignation or sentimentality.

- ***How should you handle this?***
  - Working in an organization (and for other people) takes compromise, so why not just sign off?
  - What about signing and covertly filing a dissenting memorandum to protect yourself?
  - Why not cooperate because you must support your child?

49

A Matter of Convenience

Here is the problem. Both you, a senior manager, and your newly hired assistant, a newcomer to the county, commute separately every day from a suburb not too far from the airport; the major highway runs past it. This evening you will be detained un- expectedly at an important meeting called by your boss, the commissioner. As luck would have it, you have promised to pick up your spouse at the airport tonight. The arrival was scheduled deliberately to coincide with the office's regular closing time.

- Do you ask your assistant to pick up your spouse? Why yes or why not?
- Would your obligations or preferred responses change if
  - The assistant volunteers to help?
  - A routine obligation such as day care is substituted?
  - A houseguest is substituted for your spouse?
  - The assistant is a friend?

50

Private Gain or Public Victim?

In the fall of 2002, an unknown sniper or snipers terrorized the Washington D.C. area, randomly killing people no matter their age, race, or gender. A person was killed mowing the lawn, a child shot on the way to school, a bus driver gunned down in the door of his bus, a woman shot through the head as she put packages in the trunk of her car, and an elderly man shot dead as he pumped gas into his car. The investigations drew in police from two states, over a dozen counties, the District of Columbia, and several federal police authorities. After the first week, police officials determined that they had to co-ordinate their own activities and needed a single voice to speak for the investigation.
This would help squelch rumors and implement a strategy to use the media to help track down leads and provide accurate information. The decision was made to make Montgomery County Police Chief Charles A. Moose the spokesperson for the investigation. His calm persona and professionalism captured the national media, and Chief Moose became a common feature on national and international tele- vision for more than a month. Chief Moose was hailed for his steady hand with the media and the public; he was viewed as the one individual responsible for coordinating the massive and successful law enforcement effort. John Lee Malvo and John Allen Mohammed were captured in the early morning of October 24, 2002, after remarkable police work that linked events in the states of Washington and Alabama to the horror that was occurring in the D.C. area. The men were accused of killing ten people and critically injuring three others, and were subsequently tried and found guilty. Moose signed a deal with Dutton Publishing Company of New York in January 2003 to write a book about the manhunt. The chief also received more than $4,000 for an open movie contract about his experiences. The chief negotiated the book and movie deals before he sought permission from his supervisor or from the ethics commission for any of the outside employment work he had pursued (and for which he was compensated), as required by law and specifically referenced in his employment agreement.

- Did Chief Moose do anything unethical by pursuing the book and movie contracts before seeking a waiver of the county's standards? Why?

51

Promotion

You are the assistant manager in a community and have just been informed by a council member that council intended to fire the town manager at the next public meeting. The council member asked whether you are interested in being considered for the manager's position.

What is your response?

Do you warn the manager that s/he is about to be fired?

What if town manager is your friend?

52

Ethical Mayor

- Mayor of city (elected to office on a platform of bringing ethical government to his city) found himself in a situation in which he needed to get his daughter to summer camp and, at the same time, attend a negotiation meeting for a local sales tax. His assistant volunteered to help and drove his daughter to camp—on city time! The city manager advised the mayor that he may have committed an ethics violation.

What should the Mayor do?

53

A Friend in Need

Your coworker's personal troubles are affecting his work performance.

You understand that his irritability and unreliability are temporary, stemming from a messy divorce. Staying late to help finish his monthly report, you feel your resentment build, and you wonder -

Whether covering for him is good for the agency and fair to you

54

The Layoff

- *Shyama is the HR manager in one of workshops. She's worked for the shop for 15 years, working her way up from the factory floor after the company sent her to college. Her boss just told her in complete confidence that the administration will have to layoff 200 workers. Her job won't be affected. But a rumor is now circulating in the plant, and one of her workers (an old friend who now works for her) asks the question, "Well, Shyama, what's the word? Is the plant closing? The closing (deal) on our new house is scheduled for next week. I need to know!"*
- What should she say? What would you say?

55

A Drug Study

A number of physicians are recruited to participate in a large-scale, multicenter study to investigate the survival rates of breast cancer victims who are being treated with a new drug. Strict rules are developed regarding inclusion of patients in the study. Only those who have had surgery within the last three months can be included. The possibility of relapse after surgery increases as the time progresses. Dr. Smith has a patient who hears about the study and wants very much to participate. Because Dr. Smith thinks the drug could really help this patient, he agrees to include her even though her surgery took place six months ago. He changes the dates on her charts to conform with the study requirements and reasons that this one little change shouldn't affect the study results.

Is Dr Smith right in his action? What alternative action could he have taken?

56

Watergate

President's Re-election Committee was involved in bugging the offices of political opponents and other misuse of power.

Mark Felt, also known as "Deep Throat," was the deputy director at FBI, secretly fed information to Washington Post investigative reporters about the cover up attempts by President's administration.

The information ultimately led to the 1974 resignation of President Richard Nixon over his involvement in the cover-up of the 1972 burglary at Democratic headquarters in the Watergate building.

Given his position – a member of FBI, who are supposed to maintain confidentiality, was Mark Felt acting ethically?

57

The CRS Sanction

1. Recently completed new line is to be inaugurated in a months time. Operating & maintenance systems are put in place in a hurry. CRS issues a conditional sanction. The new line is inaugurated as per schedule with introduction of passenger train.
2. DLW has introduced higher HP (10% more) version of a loco for last 3 years. 7 such locos (@ Rs. 14 cr. each) are received in your zone recently. Your zone has been running lower HP version of the loco for last 10 years. There is no difference in under-gear. As engineer you are convinced with safety. But CRS sanction for higher HP is not available. The higher HP version are running with CRS sanction in other 15 zones. There is shortage of locos for freight loading in your zone. You have processed for CRS sanction but it is going to take 2-3 months. By that time loading season will pass.

- Would you introduce the locos in service? Why or why not?
- Was running trains in 1 correct?

58

The Audit

- An auditor while auditing a good company finds out certain financial difficulties. If he does not highlight the same in his this year end report the company would recover. But if he highlights the same he risks putting the company out of business and many people out of work.
- What should he do?

59

The Burning Building

- Assume you approach a burning building and hear voices coming from both ends, each seeking help. Assume the fire is burning so rapidly you only have time to go to one or the other end of the building. Initially, you hear multiple voices at one end and a sole voice at the other end.
- Which way do you go? Why?
- If the sole voice is coming from a closer location?
- If the sole voice is of your (a) family member (b) friend
- What would you do?

60

Harman's Attendance

Harman is a sincere student in the AFP batch. He is very active in extra-curricular activities. On 5th October, there was a ***Shramadan*** event going on till 9:30 am. All the probationers actively participated in that, including Harman. There was a class of Ethics scheduled from 9:30 to 11:30 am after the event. On that day, Harman was 45 minutes late in the Ethics class. Also, it was found from his classmates that he usually comes 10-15 minutes late in most of the classes.

- **Should Harman be given attendance in the Ethics class on that day?**

61

The Election

The year end accounts for a local authority have been prepared, and they will soon be adopted by the council, ready for audit. You are the head of social services finance, and you have become aware that some work has been performed by a consultant which has resulted in a proposal to close an elderly persons' care home. The council members want to suppress this information from becoming public knowledge because there is a forthcoming by-election in the electoral division where the care home is located. The consultant has agreed not to submit the invoice for their fees, which are significant, until after the by-election. Normal accounting treatment would require the consultant's fees to be included as an expense in the accounts. Additionally, the estimated costs of the potential closure may need to be included as a provision in the accounts. The members will not make their decision known until after the by-election, which will be after the audit has been completed and the opinion signed.

How can you ensure that the accounts are an accurate and honest representation of the council's activities? You cannot allow yourself to be involved in the publication of information that is misleading.

You are required to perform your work in accordance with applicable law and regulations, including relevant accounting standards. How should you act so as not to discredit yourself or your profession?

62

Do personal errand

- Driving a government vehicle on the most direct route to a late-morning meeting in another town, you pass within a block of a store holding a personal package for you.

For efficiency's sake, do you stop by to pick it up?

63

Budget

- The legislature is giving your agency its "fair share": an across-the-board budget cut. Because you have seen to it that your agency is very efficient, it is hard to absorb a cut like this. As the current fiscal year draws to a close, you confirm that there are unexpended funds in an appropriation account. You remember how your first boss ran up the postage meter to buy some slack at the end of the fiscal year.

Should you follow the same?

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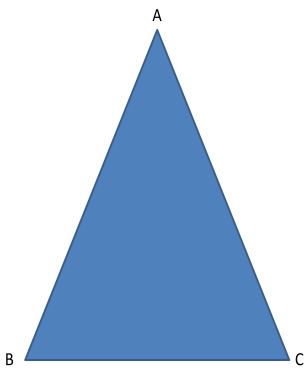
ETHICAL BEHAVIOUR

65

Aspects of Personality



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Activity

- Revisit the qualities in ideal boss
- Mark as A, B, C

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Ethical Maxims

- **The Golden Rule: Do unto others as you would have them do unto you.**
- Would I be embarrassed in front of colleagues, family, or friends if the media publicized my decision?
- Good ethics is in the firm's long-term best interests.
- Would an objective panel of professional colleagues view this action as proper?
- **When in doubt, don't.**

68

Everyone's doing it

- https://m.youtube.com/watch?v=BgRoiTWkBHU
  –(Video - Elevator)
- https://m.youtube.com/watch?v=MEhSk71gUCQ
  –(Video – Clinic)

71

Buffett on Ethics (2010 memo)

"Sometimes your associates will say 'Everybody else is doing it'. This rationale is almost always a bad one if it is the main justification for a business action. It is totally unacceptable when evaluating a moral decision. Whenever somebody offers that phrase as a rationale, in effect they are saying that they can't come up with a *good* reason. If anyone gives this explanation, tell them to try using it with a reporter or a judge and see how far it gets them."



72

RATIONALISING UNETHICAL BEHAVIOUR

69

Rationalising

Four reasons:

1. "What I'm doing is not really illegal."
2. "My behavior is in everyone's best interests."
3. "Nobody will ever find out what I've done."
4. "The organization will protect me."

70

A long habit of not thinking a thing wrong gives it a superficial appearance of being right.

Thomas Paine



73

It is often easier to list the reasons for doing the wrong thing than for choosing to do the right thing. More often than not, the only reason for doing the right thing is that it is the right thing.

- Marianne Jennings

ETHICAL DECISION MAKING

75

Approaches

Consequentialist	Non-consequentialist
• Moral rightness of an action is determined solely by its result	• Deontological – Whether the action itself is right or wrong?
• Consequences for whom?	• Virtue Ethics – The Greek philosopher Aristotle (384–322 B.C.E.) wrote about moral virtues such as courage, honesty, temperance, and responsibility.

76

Virtues approach

- As per Vedas basic virtues
  - Truthfulness
  - Charity
  - Self control
  - Gratitude
  - Fidelity
  - Forgiveness
  - Non-stealing
  - Non-cheating
  - Non-injury

77

Administrators follow Pragmatic Utilitarianism

- Constantly exploring decision alternatives that generate satisfactory outcomes for their

  (a) elected bosses,

  (b) employees, and

  (c) citizens.
- Supposed to promote the public interest over those of their employees and elected bosses
- But doing so is not always so straight forward or clear.

78

Process

1. Gather the facts
2. Define the ethical issues
3. Identify the affected parties (stakeholders)
4. Identify the consequences
5. Identify the obligations
6. Consider your character and integrity
7. Think creatively about potential actions
8. Check your gut

Trevino and Nelson, Managing Business Ethics, 2011

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ETHICAL LEADERSHIP

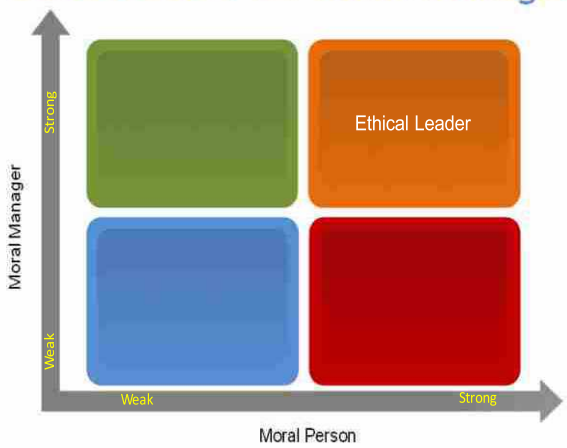
80

Activity

- What is Ethical Leadership?
- Name one person whom you consider ethical and why?

81

Moral Person vs. Moral Manager



ETHICS IN ORGANIZATION

83

Case for organizations to be ethical

- **Individuals Care about Ethics**
  - Customer loyalty
- Employee Attraction and Commitment
- Managers & Executive Leaders Care about Ethics
- **Provides guidelines for decision making**
- Industries Care about Ethics
- Society Cares about Ethics: Business and Social Responsibility

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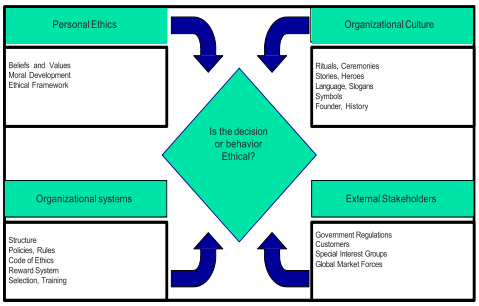
Sources of Ethical Values in Organizations



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ETHICS & ORGANIZATIONAL CULTURE

86

Impact of Ethical Culture

In companies with strong ethics cultures, only 42% of employees said that they had observed misconduct, this rises to nearly nine in ten (89%) in companies in which the ethics culture is weak. In addition, nearly three quarters (73%) report misconduct when they see it, compared to only 55% with a weak ethical culture, and both pressure to compromise standards and experiences of retaliation are much less common than in companies with weak ethics cultures (by 36 and 50 percentage points respectively).

Source: Survey of Business Ethics, Institute of Business Ethics, UK

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Culture Determinants

Formal Cultural Systems	Informal Cultural Systems
• Selection Systems • Values and Mission Statements • Policies and Codes • Orientation and Training Programs • Performance Management Systems • Organizational Authority Structure • Decision-Making Processes	• Role Models and Heroes • Norms: "The Way We Do Things around Here" • Rituals Myths and Stories • Language

OBSERVATIONS & PRACTICAL IDEAS

89

Observed Common Theme

- **People Do What's Rewarded and Avoid Doing What'sPunished**
- **People Will Go the Extra Mile to Achieve Goals Set by Leaders**
  - "I don't care how you do it, just do it." Or "I don't want to know how you meet the goal, just meet it."
  - These statements are clearly giving permission to use any means necessary (ethical or unethical) to meet the goal

90

Observed Common Theme

- Personal and contextual factors influence ethical conduct
- Training in ethical decision making may improve ethical conduct
- Protection of whistleblowers may encourage ethical conduct
- Managers acting as positive role models may motivate others toward ethical conduct
- Formal codes of ethics set standards for ethical conduct

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Suggestions for Managers

- **Management Behavior – Exemplar Leadership**
  - In order to have a positive impact on ethical conduct throughout an organization, those at the top must walk the talk.
  - City Mayor
- **Discussion helps**
  - Most subordinates end up believing that their managers don't really care about ethics.

92

Suggestions for Managers

- Identify & list appropriate and inappropriate conduct
  - Developing and adopting a code of ethics
  - Monitoring adherence to code
- Rewards systems

93

Activity

- Groups
- Each group to present one problem area (unethical practice) that they will solve at their level

94

Happiness – The Harvard Study

Video

95

Thank you!

96

- Chanda Kochhar –appearance of being fair
- Second class compartment - should we restrict nos.?
- Side berth in 2AC

97

राजभाषा

अनुक्रमणिका

क्र.सं.	विषय	पृष्ठ सं.
1.	राजभाषा संबंधी सांविधानिक उपबंध	
2.	राजभाषा संबंधी सांविधानिक तथा विधिक उपबंध	
3.	राजभाषा नीति संबंधी आदेश	
4.	मानक हिंदी वर्णमाला तथा अंक	
5.	सरकारी कामकाज में मूलरुप से हिंदी का प्रयोग करने पर नकद पुरस्कार और प्रोत्साहन	
6.	राजभाषा प्रश्नावली	

राजभाषा संबंधी सांविधानिक उपबंध

संघ की राजभाषा नीति

भारत का संविधान- भाग-5(120), भाग-6(210) और भाग-17(343 से 351)

भाग-5

अनुच्छेद-120 : संसद में प्रयुक्त होने वाली भाषा.

भाग-6

अनुच्छेद-210 : विधान-मंडल में प्रयुक्त होने वाली भाषा .

भाग-17

अनुच्छेद-343 : संघ की राजभाषा-

(1) संघ की राजभाषा हिंदी और लिपि देवनागरी होगी । संघ के शासकीय प्रयोजनों के लिए प्रयोग होने वाले अंकों का रुप भारतीय अंकों का अंतर्राष्ट्रीय रुप होगा ।

(2) संविधान लागू होने से (26 जनवरी, 1950) 15 वर्ष (26 जनवरी, 1965) तक अंग्रेजी भाषा सरकारी कार्यों में पूर्ववत् चलती रहेगी ।

(3) संसद 26 जनवरी, 1965 अर्थात 15 साल के बाद भी अंग्रेजी भाषा या देवनागरी अंकों के प्रयोग को विधि द्वारा विनिर्दिष्ट प्रयोजनों में जारी रख सकेगी ।

अनुच्छेद-344: राजभाषा के लिए आयोग और संसद की समिति ।

अनुच्छेद-345: राज्य की राजभाषा या राजभाषाएं ।

अनुच्छेद-346: एक राज्य और दूसरे के बीच में अथवा राज्य और संघ के बीच में संचार के लिए राजभाषा।

अनुच्छेद-347: किसी राज्य के जनसमुदाय के किसी भाग द्वारा बोली जाने वाली भाषा के संबंध में विशेष उपबंध।

अनुच्छेद-348: उच्चतम न्यायालय और उच्च न्यायालयों में तथा अधिनियमों, विधेयकों आदि में प्रयोग की जाने वाली भाषा ।

अनुच्छेद-349: भाषा संबंधी कुछ विधियों को अधिनियमित करने के लिए विशेष प्रक्रिया ।

अनुच्छेद-350: किसी व्यथा के निवारण के लिए संघ या राज्य के किसी पदाधिकारी या प्राधिकारी को यथास्थिति, संघ में या राज्य में प्रयोग होने वाली किसी भाषा में अभ्यावेदन देने का प्रत्येक को हक होगा ।

अनुच्छेद-351: हिंदी भाषा के विकास के लिए निदेश- संघ का यह कर्तव्य होगा कि वह हिंदी भाषा का प्रसार बढ़ाए उसका विकास करे ताकि वह भारत की सामासिक संस्कृति के सभी तत्वों की अभिव्यक्ति का माध्यम बन सके और उसकी प्रकृति में हस्तक्षेप किए बिना हिंदुस्तानी के और आठवीं अनुसूची में

विनिर्दिष्ट भारत की अन्य भाषाओं के प्रयुक्त रुप शैली और पदों को आत्मसात करते हुए और जहां आवश्यक या वांछनीय हो वहां उसके शब्द-भंडार के लिए मुख्यतः संस्कृत से और गौणतः अन्य भाषाओं से शब्द ग्रहण करते हुए उसकी समृद्धि सुनिश्चित करे ।

संविधान की आठवीं अनुसूची में सम्मिलित भाषाएं-

1. असमिया	2. उड़िया	3. उर्दू	4. कन्नड़
5. कश्मीरी	6. गुजराती	7. तमिल	8. तेलुगु
9. पंजाबी	10. बंगला	11. मराठी	12. मलयालम
13. संस्कृत	14. सिंधी	15. हिंदी	16. मणिपुरी
17. नेपाली	18. कोंकणी	19. मैथिली	20. बोडो
21. संथाली		22. डोगरी	

राजभाषा संबंधी सांविधानिक तथा विधिक उपबंध

सामान्य- संघ की राजभाषा देवनागरी लिपि में हिंदी है। परंतु हिंदी के अतिरिक्त अंग्रेजी भाषा का प्रयोग भी सरकारी कामकाज में किया जा सकता है। (संविधान अनुच्छेद 343 (1) तथा राजभाषा अधिनियम की धारा 3)

1.1 **संसद में प्रयुक्त होने वाली भाषा** :

संविधान के अनुच्छेद 348 के उपबंधों के अधीन रहते हुए संसद में कार्य हिंदी में या अंग्रेजी में किया जा सकता है। परंतु राज्य सभा का सभापति या लोक सभा का अध्यक्ष अथवा ऐसे रुप में कार्य करने वाला व्यक्ति सदन के किसी सदस्य को अपनी मातृभाषा में सदन को संबोधित करने की अनुमति दे सकता है।

1.2 किन प्रयोजनों के लिए केवल हिंदी का प्रयोग किया जाना है, किनके लिए हिंदी और अंग्रेजी दोनों भाषाओं का प्रयोग आवश्यक है, किनके लिए अंग्रेजी भाषा का प्रयोग किया जाना है और किन कार्यों के लिए हिंदी या अंग्रेजी दोनों भाषाओं का प्रयोग किया जा सकता है यह राजभाषा नियम 1963, राजभाषा नियम 1976 और उनके अंतर्गत समय-समय पर राजभाषा विभाग, गृह मंत्रलय की ओर से जारी किए गए निदेशों द्वारा निर्धारित किया गया है।

1.3 **राज्यों आदि और केंद्रीय सरकार के कार्यालयों को छोड़कर दूसरे कार्यालयों या व्यक्तियों से पत्र व्यवहार**:

केंद्रीय सरकार के कार्यालय से क्षेत्र क में किसी राज्य या संघ राज्य क्षेत्र के कार्यालय को या ऐसे राज्य या संघ राज्य क्षेत्र में केंद्रीय सरकार के कार्यालय को छोड़कर किसी अन्य कार्यालय या व्यक्ति को पत्र आदि असाधारण दशाओं को छोड़कर हिंदी में भेजे जाएं। यदि उनमें से किसी को कोई पत्र आदि अंग्रेजी में भेजा जाता है तो उसके साथ उसका हिंदी अनुवाद भी भेजा जाए।

(राजभाषा नियम 3 (1)

1.4 केंद्रीय सरकार के कार्यालय से क्षेत्र ख में किसी राज्य या संघ राज्य क्षेत्र के कार्यालय को या ऐसे राज्य या संघ राज्य क्षेत्र में स्थित केंद्रीय सरकार के कार्यालय को छोड़कर किसी अन्य कार्यालय को या व्यक्ति को पत्र आदि सामान्यतया हिंदी में भेजे जाएं । यदि उनमें से किसी को पत्र आदि अंग्रेजी में भेजे जाते हैं तो उनके साथ उनका हिंदी अनुवाद भी भेजा जाए।

(राजभाषा नियम 3 (2)

1.5 केंद्रीय सरकार के कार्यालय से क्षेत्र ग में किसी राज्य या संघ राज्य क्षेत्र को, या ऐसे राज्य में केंद्रीय सरकार के कार्यालय को छोड़कर किसी अन्य कार्यालय या व्यक्ति को पत्र आदि अंग्रेजी में भेजे जाएं।

(नियम 3 (3))

1.6 क्षेत्र ग में केंद्रीय सरकार के कार्यालय से क्षेत्र क या ख में स्थित किसी राज्य या संघ राज्य क्षेत्र के कार्यालय को या केंद्रीय सरकार कार्यालय के क्षेत्र को छोड़कर ऐसे राज्य में स्थित अन्य कार्यालय या व्यक्ति को पत्र आदि हिंदी या अंग्रेजी में भेजे जा सकते हैं। राजभाषा विभाग द्वारा प्रतिवर्ष वार्षिक कार्यक्रम में निर्धारित किया जाता है कि पत्र आदि में हिंदी का प्रयोग किस अनुपात से किया जाए।

(नियम 3 (4))

1.7 **केंद्रीय सरकार के कार्यालयों के बीच पत्र व्यवहार**

केंद्रीय सरकार के किसी एक मंत्रालय या विभाग और किसी दूसरे मंत्रालय या विभाग के बीच पत्र आदि हिंदी या अंग्रेजी में हो सकते हैं।

(नियम 4 (क)

1.8 केंद्रीय सरकार के एक मंत्रालय या विभाग और क्षेत्र क में स्थित संबद्ध या अधीनस्थ कार्यालयों के बीच पत्र आदि हिंदी में या उस अनुपात से भेजे जाने हैं, जो राजभाषा विभाग प्रत्येक वर्ष वार्षिक कार्यक्रम में निर्धारित करता है।

(नियम 4 (ख))

1.9 केंद्रीय सरकार के मंत्रालय या विभाग को छोड़कर क्षेत्र क में स्थित केंद्रीय सरकार के कार्यालयों के बीच पत्र आदि हिंदी में भेजे जाएं।

(नियम 4 (ग))

1.10 क्षेत्र ख और क्षेत्र ग में स्थित कार्यालयों का आपस में, और क्षेत्र क में स्थित केंद्रीय सरकार के कार्यालयों के साथ, पत्र व्यवहार हिंदी या अंग्रेजी में हो सकता है। यह पत्र व्यवहार किस अनुपात में किया जाए, यह राजभाषा विभाग द्वारा हर वर्ष जारी किए गए वार्षिक कार्यक्रम में निर्धारित किया जाता है।

(नियम 4 (घ) व (ड़))

1.11 क्षेत्र क या क्षेत्र ख में स्थित किसी केंद्रीय सरकार के कार्यालय को संबोधित पत्र आदि का दूसरी भाषा में अनुवाद भेजने की आवश्यकता नहीं। इसका दूसरी भाषा में अनुवाद, पत्र आदि प्राप्त करने के स्थान पर किया जाएगा।

(नियम 4 का परंतुक (1))

1.12 क्षेत्र ग में स्थित केंद्रीय सरकार के किसी कार्यालय को यदि कोई पत्र हिंदी में भेजा जाता है और ग क्षेत्र में स्थित यह कार्यालय राजभाषा नियम 10 (4) के अधीन अधिसूचित है तब उसे अंग्रेजी के अनुवाद भेजने की आवश्यकता नहीं। क्षेत्र ग में स्थित केंद्रीय सरकार के दूसरे कार्यालयों को यदि पत्र हिंदी में भेजा जाता है तो उसका अंग्रेजी भाषा में अनुवाद उसके साथ भेजा जाए।

(नियम 4 परंतुक (II)

1.13 हिंदी में प्राप्त पत्रादि का उत्तर

हिंदी में पत्र आदि का उत्तर चाहे वे किसी भी क्षेत्र से प्राप्त हों और किसी भी राज्य सरकार, व्यक्ति या केंद्रीय सरकार के कार्यालय से प्राप्त हों, केंद्रीय सरकार के कार्यालय से हिंदी में दिया जाए।

(नियम 5)

1.14 आवेदन, अभ्यावेदन आदि का उत्तर

कोई कर्मचारी आवेदन, अपील या अभ्यावेदन हिंदी या अंग्रेजी में कर सकता है। यदि कोई कर्मचारी अपना आवेदन, अपील या अभ्यावेदन हिंदी में करता है या उस पर हिंदी में हस्ताक्षर करता है तो उसका उत्तर हिंदी में दिया जाए।

(नियम 7 (1,2)

1.15 सेवा संबंधी आदेश या सूचना

यदि कोई कर्मचारी यह चाहता है कि सेवा संबंधी विषयों (जिसके अंतर्गत अनुशासनिक कार्यवाही भी है) से संबंधित कोई आदेश या सूचना, जिसको कर्मचारी

पर तामील किया जाना अपेक्षित है, हिंदी या अंग्रेजी में होना चाहिए, तो वह उसे किसी विलंब के बिना उसी भाषा में दिया जाए।

(नियम 7 (3)

1.16 दस्तावेज आदि जो द्विभाषी होने चाहिए

निम्नलिखित दस्तावेज आदि हिंदी और अंग्रेजी दोनों भाषाओं में जारी किए जाएं-

(1) संकल्प, साधारण आदेश, नियम अधिसूचनाएं, प्रशासनिक या अन्य प्रतिवेदन या प्रेस विज्ञप्ति।

(2) संसद के किसी सदन या सदनों के समक्ष रखे गए प्रशासनिक तथा अन्य प्रतिवेदन और राजकीय कागज पत्र्।

(3) संविदाओं और करारों का निष्पादन लाइसेंस, परमिट और टेंडर के लिए नोटिस और प्ररूप।

(अधिनियम की धारा 3 (3)

1.17 मैनुअल,संहिताएं,प्रक्रिया संबंधी अन्य साहित्य,लेखन सामग्री आदि

(क) सभी मैनुअल, संहिता और प्रक्रिया संबंधी अन्य साहित्य हिंदी और अंग्रेजी में द्विभाषी रुप में मुद्गित या साइक्लोस्टाइल किया जाए और प्रकाशित किया जाए।

(ख) केंद्रीय सरकार के किसी कार्यालय में प्रयोग किए जाने वाले रजिस्टरों के प्ररुप और शीर्षक हिंदी और अंग्रेजी दोनों भाषाओं में हों।

(ग) केंद्रीय सरकार के किसी कार्यालय में प्रयोग के लिए सभी नाम पट्ट, सूचना पट्ट, पत्र शीर्ष और लिफाफों पर उत्कीर्ण लेख तथा लेखन सामग्री की अन्य मदें हिंदी और अंग्रेजी दोनों भाषाओं में लिखी जाएं व मुद्रित या उत्कीर्ण की जाएं।

यदि केंद्रीय सरकार ऐसा करना आवश्यक समझती है तो वह साधारण या विशेष आदेश द्वारा केंद्रीय सरकार के किसी कार्यालय को इस नियम के सभी या किन्हीं उपबंधों से छूट दे सकती है।

(नियम 11)

इस परंतुक के अधीन छूट के लिए कोई प्रस्ताव उसका पूरा औचित्य दिखाते हुए राजभाषा विभाग को भेजा जाए ।

1.18(क) कार्यसाधक ज्ञान

यह समझा जाएगा कि किसी कर्मचारी को हिंदी का कार्यसाधक ज्ञान प्राप्त है, यदि उसने

(1) मैट्रिक परीक्षा या उसके समतुल्य या ऊंची परीक्षा हिंदी विषय के साथ उत्तीर्ण कर ली है, या

(2) केंद्रीय सरकार के हिंदी शिक्षण योजना के अंतर्गत आयोजित प्राज्ञ परीक्षा उत्तीर्ण कर ली है, या यदि केंद्रीय सरकार द्वारा किसी विशिष्ट पदों के संबंध में उस योजना के अंतर्गत कोई निम्नतर परीक्षा विनिर्दिष्ट है तो वह परीक्षा उत्तीर्ण कर ली है, या

(3) केंद्रीय सरकार द्वारा इस बारे में विनिर्दिष्ट कोई अन्य परीक्षा उत्तीर्ण कर ली है, या.

(4) वह राजभाषा नियम के संलग्न प्ररुप में यह घोषणा करता है कि उसने हिंदी का कार्यसाधक ज्ञान प्राप्त कर लिया है।

(नियम 10)

1.18 (ख) प्रवीणता

किसी कर्मचारी के बारे में यह समझ जाएगा कि उसने हिंदी में प्रवीणता प्राप्त कर ली है, यदि उसने-

(1) मैट्रिक परीक्षा या उसके समतुल्य या उससे ऊंची कोई परीक्षा हिंदी के माध्यम से उत्तीर्ण कर ली है, या

(2) स्नातक परीक्षा में अथवा स्नातक परीक्षा के बराबर या उससे ऊँची किसी परीक्षा में हिंदी को एक वैकल्पिक विषय के रूप में लिया है, या.

(3) वह राजभाषा नियम में संलग्न प्ररुप में यह घोषणा करता है कि उसे हिंदी में प्रवीणता प्राप्त है।

(नियम 9)

1.18(ग) केन्द्रीय सरकार के कार्यालयों में टिप्पण आदि

केंद्रीय सरकार ऐसे कार्यालयों को जिनमें कार्य करने वाले कर्मचारियों में से 80 प्रतिशत ने हिंदी का कार्यसाधक ज्ञान प्राप्त कर लिया है और जो राजभाषा नियम 10 (4) के अधीन अधिसूचित किए जा चुके हैं विनिर्दिष्ट कर सकती है कि उनमें ऐसे कर्मचारियों द्वारा जिन्हें हिंदी में प्रवीणता प्राप्त है, टिप्पण, प्रारुपण और ऐसे अन्य शासकीय प्रयोजनों के लिए, जो आदेश में विनिर्दिष्ट किए जाएं केवल हिंदी का प्रयोग किया जाएगा।

(नियम 8(4), 10 (2) और 10(4)

1.19 उपर्युक्त को छोड़कर कोई कर्मचारी किसी फाइल पर टिप्पणी या कार्यवृत्त हिंदी या अंग्रेजी में लिख सकता है और उससे यह अपेक्षा नहीं की जाएगी कि वह उसका अनुवाद दूसरी भाषा में प्रस्तुत करे ।

(नियम 8(1)

1.20 कर्मचारी व्दारा अंग्रेजी अनुवाद की मांग

केंद्रीय सरकार का कोई भी कर्मचारी, जो हिंदी का कार्यसाधक ज्ञान रखता है, हिंदी में किसी दस्तावेज के अंग्रेजी अनुवाद की मांग तभी कर सकता है जब वह दस्तावेज विधिक या तकनीकी प्रकृति के हों, अन्यथा नहीं । यदि यह प्रश्न उठता है कि कोई दस्तावेज विधिक या तकनीकी प्रकृत्ति का है या नहीं, तो विभाग या कार्यालय का प्रधान उसका निर्णय करेगा।

(नियम 8(2), और (3)

1.21 **अनुपालन का उत्तरदायित्व**

पैरा 1.16 में दिए गए दस्तावेजों पर हस्ताक्षर करने वाले व्यक्ति का यह उत्तरदायित्व है कि वह यह सुनिश्चित कर ले कि ये दस्तावेज हिंदी और अंग्रेजी दोनों ही में तैयार किए जाते हैं ,निष्पादित किए जाते हैं और जारी किए जाते हैं ।

(नियम 6)

1.22 केंद्गीय सरकार के प्रत्येक कार्यालय के प्रशासनिक प्रधान का यह उत्तरदायित्व है कि वह यह सुनिश्चित करे कि राजभाषा अधिनियम और राजभाषा नियम के उपबंधों का समुचित रुप से अनुपालन हो रहा है और इस प्रयोजन के लिए उपयुक्त और प्रभावकारी जांच के उपाय करें।

(नियम 12 (1))

1.23 केंद्रीय सरकार (राजभाषा विभाग) व्दारा राजभाषा अधिनियम और राजभाषा नियम के उपबंधों के पूरी तरह अनुपालन के लिए अपने कर्मचारियों और कार्यालयों को समयसमय पर आवश्यक निदेश जारी किए जाते हैं। कार्यालय के प्रशासनिक प्रधान का यह भी उत्तरदायित्व है कि वह इन निदेशों का पालन सुनिश्चित करे।

(नियम 12(1), व (2))

1.24 **अंक**

संघ के शासकीय प्रयोजनों के लिए भारतीय अंकों का अंतर्राष्ट्रीय रुप (1,2,3,4,5,6,7,8,9,0) प्रयोग में लाया जाए।

(संविधान का अनुच्छेद 343 (1))

1.25 राष्ट्रपति, संघ के शासकीय प्रयोजनों में से किसी प्रयोजन के लिए भारतीय अंकों के अंतर्राष्ट्रीय रूप के अतिरिक्त देवनागरी रुप (१,२,३,४,५,६,७,८,९,०) का प्रयोग प्राधिकृत कर सकते हैं। इसके अधीन राज्यों के राज्यपालों, उच्चतम न्यायालय के न्यायाधीशों और उच्च न्यायालयों के न्यायाधीशों की नियुक्ति के अधिपत्रों के लिए भारतीय अंकों के अंतर्राष्ट्रीय स्वरुप के अतिरिक्त अंकों के देवनागरी स्वरुप का प्रयोग करने की अनुमति दी गई है।

(संविधान का अनुच्छेद 343 (2) और
विधि मंत्रालय की अधिसूचना सं. एस.आर.ओ.938ए दिनांक 27 मई, 1952)(संकलन क्रम 2)

1.26 उपर्युक्त पैरा 1.25 को छोड़कर केंद्रीय सरकार के कामकाज में जहां कहीं भी अंकों का प्रयोग करना हो वहां केवल भारतीय अंकों के अंतर्राष्ट्रीय रुप का ही प्रयोग किया जाए।

(गृह मंत्रालय, राजभाषा विभाग का.ज्ञा.सं.1/14034/382.रा.भा. (ख-1))
(दिनांक 6.9.1982 संकलन क्रम 10)

1.27 संसद के कार्य

संसद में कार्य के लिए हिंदी या अंग्रेजी कोई भी भाषा प्रयोग में लाई जा सकती है।

(संविधान अनुच्छेद 120 और अधिनियम 3 (1 ख))

1.28(1) संसद के किसी सदन या सदनों के समक्ष रखे गए प्रशासनिक तथा अन्य प्रतिवेदन और राजकीय कागज पत्र हिंदी और अंग्रेजी दोनों भाषाओं में होने अनिवार्य हैं।

(अधिनियम 3 (3) II)

(2) उपर्युक्त प्रावधान के अंतर्गत मंत्रियों द्वारा लिखित वक्तव्य जैसे कि ध्यानाकर्षण प्रस्ताव के उत्तर में स्थगन प्रस्ताव के उत्तर में, अपने आप दिए जाने वाले वक्तव्य आदि सदन में द्विभाषी रुप में ही परिचालित किए जाएं।

(गृह मंत्री का.आ.शा.पत्र सं. 12021/3/87-रा.भा. (ख-1))
दिनांक 18 दिसंबर, 1987)

1.29 विधेयक, अधिनियम आदि का प्राधिकृत पाठ

(1) संसद के प्रत्येक सदन या किसी राज्य विधान मंडल के सदन या प्रत्येक सदन में पुरःस्थापित किए जाने वाले किसी विधेयक या प्रस्तावित किए जाने वाले किसी संशोधन का,

(2) संसद या किसी राज्य के विधान मंडल द्वारा पारित किसी अधिनियम और राष्ट्रपति या किसी राज्यपाल व्दरा प्रख्यापित किसी अध्यादेश का, और

(3) संविधान के अधीन अथवा संसद या किसी राज्य के विधान मंडल द्वारा बनाई गयी किसी विधि के अधीन जारी किए गए किसी आदेश, नियम, विनियम और उपविधि का प्राधिकृत पाठ अंग्रेजी भाषा में माना जाता है।

(संविधान अनुच्छेद 348 (1 ख))

1.30 केंद्रीय अधिनियम आदि का प्राधिकृत हिंदी पाठ

शासकीय राजपत्र में राष्ट्रपति के प्राधिकार से प्रकाशित प्राधिकृत पाठ-

(क) किसी केंद्रीय अधिनियम का या राष्ट्रपति व्दारा प्रख्यापित किसी अध्यादेश का,
अथवा

(ख) संविधान के अधीन या किसी कें केंद्रीय अधिनियम के अधीन निकाले गए किसी आदेश, नियम, विनिमय या किसी उपविधि का शासकीय राजपत्र में राष्ट्रपति के प्राधिकार से प्रकाशित हिंदी में अनुवाद, उसका हिंदी में प्राधिकृत पाठ माना जाता है।

(अधिनियम धारा 5 (1)

(ग) संसद के किसी भी सदन में पुरःस्थापित किए जाने वाले विधेयकों, संशोधनों के अंग्रेजी भाषा में प्राधिकृत पाठ का हिंदी में अनुवाद सरकारी विधेयक या किसी विधेयक के संबंध में सरकार द्वारा प्रस्तावित संशोधन होने पर, संबंधित मंत्री द्वारा और प्राइवेट सदस्य के विधेयक या प्राइवेट सदस्य द्वारा प्रस्तावित संशोधन होने पर राज्यसभा/लोकसभा के सचिवालय के प्राधिकृत अधिकारी के हस्ताक्षरों से प्राधिकृत किया जाता है।

(अधिनियम 5 (2) तथा राजभाषा अधिसूचना सं. 11011/2/72-रा.भा. (क-1)
दिनांक 1 जनवरी, 1976)

1.31 राज्यों के अधिनियमों, अध्यादेशों के प्राधिकृत हिंदी पाठ

जहां किसी राज्य के विधान मंडल ने उस राज्य के विधान मंडल द्वारा पारित अधिनियमों में अथवा उस राज्य के राज्यपाल द्वारा प्रख्यापित अध्यादेशों में प्रयोग के लिए हिंदी से भिन्न कोई भाषा निर्धारित की है, वहां उस राज्य के राज्यपाल के प्राधिकार से उस राज्य के शासकीय राजपत्र में उस अधिनियम या अध्यादेश का हिंदी में प्रकाशित अनुवाद हिंदी भाषा में उसका प्राधिकृत पाठ समझा जाता है।

(अधिनियम की धारा 6)

1.32 उच्चतम/उच्च न्यायालय की भाषा

उच्चतम न्यायालय और प्रत्येक उच्च न्यायालय में सभी कार्यवाहियां अंग्रेजी भाषा में की जानी अपेक्षित है ।

संविधान अनुच्छेद 348 (1) (क))

परंतु किसी राज्य का राज्यपाल, राष्ट्रपति की पूर्व सहमति से उस उच्च न्यायालय जिसका मुख्य स्थान उस राज्य में है, की कार्यवाहियों में (उच्च न्यायालय द्वारा दिए गए निर्णय, डिक्री, या आदेश को छोड़कर) हिंदी भाषा का या उस राज्य के शासकीय प्रयोजनों के लिए प्रयोग में आने वाली किसी अन्य भाषा का प्रयोग प्राधिकृत कर सकता है।

(संविधान अनुच्छेद 348 (2)

इस प्रावधान के अधीन उत्तर प्रदेश, मध्य प्रदेश, बिहार और राजस्थान में स्थित इलाहाबाद, जबलपुर, पटना और जोधपुर उच्च न्यायालयों में हिंदी का प्रयोग प्राधिकृत किया गया है।

1.33 उच्च न्यायालय के निर्णयों आदि में हिंदी या अन्य राजभाषा का वैकल्पिक प्रयोग

(1) किसी राज्य का राज्यपाल, राष्ट्रपति की पूर्व सहमति से अंग्रेजी भाषा के अतिरिक्त, हिंदी या उस राज्य की राजभाषा का प्रयोग उस राज्य के उच्च न्यायालय द्वारा पारित या दिए गए किसी निर्णय, डिक्री या आदेश के प्रयोजन के लिए भी प्राधिकृत कर सकता है, पर ऐसी स्थिति में उसके साथ-साथ उच्च न्यायालय के अधिकार से निकाले गए अंग्रेजी भाषा में उसका अनुवाद भी साथ लगाया जाएगा।

(अधिनियम की धारा 7)

इस प्रावधान के अधीन उत्तर प्रदेश, मध्य प्रदेश, बिहार और राजस्थान में स्थित इलाहाबाद, जबलपुर, पटना और जोधपुर उच्च न्यायालय में निर्णय, डिक्री या आदेश के लिए हिंदी का प्रयोग प्राधिकृत किया गया है।

(2) इन उच्च न्यायालयों द्वारा हिंदी में दिए गए निर्णय, डिक्री या आदेश को प्राधिकृत और अधिप्रमाणित माना जाएगा। यह अपेक्षा कि ऐसे निर्णयों के साथ उच्च न्यायालय के प्राधिकार से निकाले गए अंग्रेजी भाषा में अनुवाद भी सम्मिलित किया जाए, एक अतिरिक्त सांविधिक अपेक्षा है, इससे हिंदी में दिए गए निर्णय का अधिप्रमाणित या प्राधिकृत स्परुप समाप्त नहीं होता।

(राजभाषा विभाग कार्यालय ज्ञापन सं.1/21011/12/76 -रा.भा. (क-1)
दिनांक 6.4.1976, संकलन क्रम सं.11)

1.34 **संसदीय राजभाषा समिति**

राजभाषा अधिनियम की धारा 4 के अधीन संसदीय राजभाषा समिति गठित की गई है। इस समिति में 30 सदस्य हैं, जिनमें से 20 लोकसभा तथा 10 राज्य सभा के सदस्य हैं, जो क्रमश: लोक सभा के सदस्य तथा राज्य सभा के सदस्यों द्वारा अनुपातिक प्रतिनिधित्व प्रणाली के अनुसार एकल संक्रमणीय मत द्वारा निर्वाचित किए गए हैं । इस समिति का कर्तव्य है कि वह संघ के राजकीय प्रयोजनों के लिए हिंदी के प्रयोग में की गई प्रगति का पुनर्विलोकन करे और उस पर सिफारिश करते हुए राष्ट्रपति को प्रतिवेदन करे । राष्ट्रपति उस प्रतिवेदन को संसद के हर सदन के समक्ष रखवाएंगे और सभी राज्य सरकारों को भिजवाएंगे। राष्ट्रपति इस प्रतिवेदन पर और उस पर राज्य सरकारों ने यदि कोई मत व्यक्त किए हों तो उन पर, विचार करने के पश्चात उस प्रतिवेदन के या उसके किसी भाग के अनुसार निदेश निकाल सकेंगे, पर इस प्रकार निकाले गए निदेश राजभाषा अधिनियम की धारा 3 के उपबंधों से असंगत नहीं होंगे।

(अधिनियम की धारा 4)

1.35 **हिंदी का प्रसार और विकास**

केंद्रीय सरकार का यह कर्तव्य है कि वह हिंदी भाषा का प्रसार बढ़ाए, उसका विकास करे ताकि वह भारत की सामासिक संस्कृति के सभी तत्वों की अभिव्यक्ति का माध्यम बन सके और हिंदी भाषा की प्रकृत्ति में हस्तक्षेप किए बिना हिंदुस्तानी के और संविधान की आठवीं

अनुसूची में विनिर्दिष्ट भारत की अन्य भाषाओं के प्रयुक्त रुप, शैली और पदों को आत्मसात करते हुए और जहां आवश्यक या वांछनीय हो उसके शब्द भंडार के लिए मुख्यत संस्कृत से और गौणत: अन्य भाषाओं से शब्द ग्रहण करते हुए उसकी समृद्धि सुनिश्चित करे ।

(संविधान का अनुच्छेद 351)

1.36 केंद्रीय सरकार के कार्यालयों की परिभाषा

राजभाषा नियम 2 (ख) के अनुसार केंद्रीय सरकार के कार्यालय के अंतर्गत निम्नलिखित भी शामिल हैं-

(1) केंद्रीय सरकार का कोई मंत्रालय या विभाग या कार्यालय

(2) केंद्रीय सरकार द्वारा नियुक्त किसी आयोग समिति या अधिकरण का कोई कार्यालय और

(3) केंद्रीय सरकार के स्वामित्व में या नियंत्रण के अधीन किसी निगम या कंपनी का कोई कार्यालय।

इसलिए राजभाषा अधिनियम राजभाषा नियम सरकारी उपक्रमों और भारतीय रिजर्व बैंक, राष्ट्रीयकृत बैंक और ग्रामीण विकास बैंक, भारतीय औद्योगिक विकास बैंक सहित सभी राष्ट्रीयकृत बैंकों पर उसी तरह लागू होते हैं जिस प्रकार केंद्रीय सरकार के अन्य कार्यालयों पर लागू होते हैं। संघ की राजभाषा नीति उन पर भी लागू होती है।

(राजभाषा विभाग का कार्यालय ज्ञापन सं. 1/14013/35/85-राभा (क-1).
दिनांक 6.6.1985-संकलन क्रम सं.13)
(का.ज्ञा.सं.12027/77/86 रा.भा. (ख-2), दिनांक 6.8.1987)

1.37 क,ख तथा ग क्षेत्र

क क्षेत्र -इसके अन्तर्गत बिहार,हरियाणा,हिमाचल प्रदेश,मध्य प्रदेश छत्तीसगढ,झारखंड, उत्तराखंड,राजस्थान और उत्तर प्रदेश राज्य तथा अंडमान निकोबार द्वीप समूह, दिल्ली संघ राज्य क्षेत्र शामिल हैं ।

ख क्षेत्र -इसके अन्तर्गत गुजरात,महाराष्ट्र और पंजाब राज्य तथा चंडीगढ,दमन दीव तथा दादरा नगर हवेली संघ राज्य क्षेत्र शामिल हैं ।

ग क्षेत्र – इसके अन्तर्गत क तथा ख क्षेत्रों में शामिल राज्यों और संघ राज्य क्षेत्रों के अलावा राज्य तथा संघ राज्य क्षेत्र शामिल हैं ।

(राजभाषा नियम 2 (च) (छ) (ज)

1.38 संघ शासित क्षेत्रों में राजभाषा नीति का कार्यान्वयन

(1) संघ राज्य क्षेत्र दिल्ली और अण्डमान निकोबार द्वीप समूह में केंद्गीय सरकार की राजभाषा नीति को लागू करने की उसी प्रकार व्यवस्था की जाए जिस प्रकार केंद्गीय सरकार के मंत्रालयों /विभागों तथा अन्य कार्यालयों आदि के बारे में की गई है।

(फाइल सं. 1714034/12/88 -रा.भा.(क-1) दि. 4.7.1987)

(2) दादरा व नगर हवेली प्रशासन, लक्षद्वीप प्रशासन और दमण व द्वीप प्रशासन में राजभाषा नीति के अनुपालन की व्यवस्था उसी प्रकार की जाए जिस प्रकार केंद्रीय सरकार के मंत्रालयों / विभागों तथा अन्य कार्यालयों आदि के बारे में की गई है।

(फाइल सं. 20034:80/91 -राभा (अ.वि) दि. 16.10.1991)

राजभाषा नीति संबंधी आदेश

2.1 सामान्य आदेश की परिभाषा

स्थायी प्रकार के सभी आदेश, निर्णय, अनुदेश परिपत्र जो विभागीय प्रयोग के लिए हों तथा ऐसे सभी आदेश, अनुदेश पत्र, ज्ञापन, नोटिस, परिपत्र आदि जो सरकारी कर्मचारियों के समूह अथवा समूहों के संबंध में या उनके लिए हों राजभाषा अधिनियम की धारा 3(3) के अधीन सामान्य आदेश कहलाते हैं।

(का.ज्ञा.सं.1/14013/2/78 -राभा (क-1)दि. 19.5.98 क्रम सं. 14)

2.2 सांविधिक नियमों आदि का हिंदी और अंग्रेजी में भारत के राजपत्र में प्रकाशन

राजभाषा अधिनियम 1963 की धारा 3(3) के अनुसरण में संसद में प्रस्तुत किए जाने वाले सांविधिक नियमों, आदेशों आदि का हिंदी रूपांतर विधि मंत्रलय का विधायी विभाग (राजभाषा खंड) तैयार करता है। संबंधित मंत्रालय विभाग को चाहिए कि उल्लिखित प्रलेख (दस्तावेज) की दो प्रतियाँ तैयार करके एक प्रति विधायी विभाग को और दूसरी उसके राजभाषा खंड को उसी पृष्ठांकन और उसी तारीख और क्रम संख्या के अंतर्गत भेजे। विधायी विभाग नियम, आदेश, अधिसूचना के अंग्रेजी रूप को अंतिम रूप देगा और जांच तथा कानूनी समीक्षा के बाद संबंधित विभाग को लौटाएगा। जिस रुप में विधायी विभाग ने नियम, आदेश अधिसूचना आदि को अंतिम रूप दिया है उसका हिंदी रूपांतर राजभाषा खंड द्वारा करके संबंधित विभाग को लौटा दिया जाएगा। संबंधित मंत्रालय/विभाग दोनों रूपों पर विधिवत हस्ताक्षर करके राजपत्र में प्रकाशनार्थ मुद्गणालय को एक साथ एक ही तारीख में भेजना सुनिश्चत करे।

(आदेश सं. 2/18/68- राभा दि. 20.3.70 क्रम सं. 15)

2.3 केंद्रीय अधिनियमों, नियमों, विनियमों आदि का प्राधिकृत हिंदी अनुवाद

केंद्रीय अधिनियमों, नियमों और विनियमों का प्राधिकृत हिंदी अनुवाद विधि मंत्रालय (विधायी विभाग) के राजभाषा खंड द्वारा किया जाता है। कभी-कभी प्राधिकृत हिंदी पाठ की 3 या 4 प्रतियां छपवाने की मांग की जाती है। परिश्रम तो लगता ही है, खर्च भी होता है। इसलिए प्राधिकृत हिंदी अनुवाद को छपवाए जाने की प्रतियों की संख्या की सूचना जनता द्वारा मांगी जाने वाली और कार्यालयों में प्रयोग की जाने वाली संख्या को ध्यान में रखकर ही विधि विभाग के राजभाषा खंड को भेजी जाए।

(का.ज्ञा.सं.1/14011/2/81-राभा(क-1)दि.21.11.81 क्रम सं. 16)

2.4 भारत में हस्ताक्षर किए जाने वाले अंतर्राष्ट्रीय करारों और संधियों का हिंदी-अंग्रेजी दोनों भाषाओं में तैयार किया जाना

(1) मंत्रालय/विभाग संधियों और करारों के अंग्रेजी पाठों का हिंदी अनुवाद तैयार करें और विदेश मंत्रालय के विधि और संधि प्रभाग में जांच कराएं। भारत में हस्ताक्षर की जाने वाली सभी अंतर्राष्ट्रीय संधियों और करारों के लिए अंग्रेजी के अतिरिक्त हिंदी का प्रयोग किया जाए किंतु निम्नलिखित को हिंदी में निष्पादित न करने की छूट है-

(क) विदेशों में की गई संधियाँ और करार,

(ख) तत्काल प्रकार की संधियां और करार जिनका समयाभाव के कारण हिंदी अनुवाद तैयार करना संभव नहीं।

(ग) बहु पक्षीय अभिसमय और

(घ) रक्षा मंत्रालय की संधियां और करार

किंतु (क), (ख), (ग) में उल्लिखित कागज का हिंदी अनुवाद अभिलेखों में रखने के लिए करवाया जाएगा।

(2) राजभाषा अधिनियम 1963 के अधीन सब करारों और संधियों में अंग्रेजी के अलावा हिंदी का प्रयोग आवश्यक है। फिर भी, निर्वचन के संबंध में कोई मतभेद न हो, इसके लिए केवल मात्र किसी एक पाठ को प्रमाणिक समझना वांछनीय होगा। इसलिए अंग्रेजी से भिन्न भाषा-भाषी देशों के साथ उनकी अपनी भाषा, अंग्रेजी और हिंदी में किए जाने वाले करारों और संधियों में यह व्यवस्था करना उचित होगा कि विवाद की स्थिति में अंग्रेजी पाठ प्रामाणिक होगा। अंग्रेजी भाषी देशों के साथ किए जाने वाले करार और संधियों में हिंदी और अंग्रेजी दोनों ही भाषाओं का प्रयोग कराने और दोनों पाठों को प्रमाणिक बनवाने के प्रयत्न किए जाएं। हां, यदि दूसरा पक्ष इस बात पर आग्रह करे कि केवल अंग्रेजी के पाठ को प्रामाणिक माना जाए तो उसे फिलहाल स्वीकार कर लिया जाए।

(का.ज्ञा.सं.16/21/70 राभा. दि. 31.12.70 क्रम सं.17)

(का.ज्ञा.सं.16/21/70 राभा. दि. 24.2.72 क्रम सं.18)

2.5 क क्षेत्र में चैक / ड्राफ्ट हिंदी में तैयार किया जाना

क क्षेत्र में स्थित केंद्रीय सरकार के कार्यालयों द्वारा सभी चैक यथासंभव हिंदी में तैयार किए जाएं। क क्षेत्र में स्थित सरकारी बैंकों द्वारा क क्षेत्र के लिए तैयार किए गए चैक और ड्राफ्ट यथासंभव हिंदी में जारी किए जाएं।

(का.ज्ञा.सं.1/14011/3/79 - राभा.(क-1) दि. 7.2.1981 क्रम सं.21)

2.6 लिफाफों पर पते हिंदी में लिखना और पता लिखने, बिल बनाने आदि में मशीनों का प्रयोग

दिल्ली में स्थित स्थानीय कार्यालयों और व्यक्तियों तथा अन्य हिंदी भाषी क्षेत्रों को भेजे जाने वाले पत्रों पर पते हिंदी में लिखे जाएं। गुजरात, महाराष्ट्र तथा पंजाब राज्यों में स्थित केंद्रीय कार्यालयों को भेजे जाने वाले पत्रों के पते भी हिंदी में लिखे जाएं।

(1) क तथा ख क्षेत्रों में स्थित कार्यालयों में पता लेखी- मशीन के साथ देवनागरी एम्बोसिंग मशीनें लगाई जाएं और चूंकि ग क्षेत्रों में स्थित कार्यालयों में भी कई बड़े-बड़े कार्यालय ऐसे हैं जिनमें काफी पत्र-व्यवहार क तथा ख क्षेत्रों के कार्यालयों से होता है । अत: ग क्षेत्र में स्थित कार्यालयों में भी द्विभाषी पतालेखी मशीनों का प्रावधान किया जाए।

(2) इन मशीनों पर कार्यरत कर्मचारियों के लिए हिंदी तथा अंग्रेजी दोनों भाषाओं में प्रशिक्षण देने की व्यवस्था की जाए। पतालेखी मशीनों पर कार्यरत कर्मचारियों को हिंदी भाषा का ज्ञान होना चाहिए। अत: ऐसे कर्मचारियों को, पतालेखी मशीनों पर हिंदी भाषा में काम करने के लिए आवश्यक प्रशिक्षण देने के लिए पतालेखी मशीन कंपनियों से अनुरोध किया जाए।

(का.ज्ञा.सं.15/50/62 - राभा. दि. 30.7.62 क्रम सं.22)
(का.ज्ञा.सं.6/50/69 - राभा. दि. 24.11.69 क्रम सं.23)
(का.ज्ञा.सं.11015/51/72 राभा. (ख) दि. 27.6.73 क्रम सं.24)
(का.ज्ञा.सं.12015/9/76 राभा. (ख) दि. 16.11.76 क्रम सं.86)
(का.ज्ञा.सं.12024/4/90/राभा. (ख-2) दि. 16.5.90)

2.7 नाम पट्ट, रबड़ की मोहरें, कार्यालय की मुद्राएं, पत्र शीर्ष और लोगो (प्रतीक)

(1) भारत सरकार के सभी मंत्रालयों/विभागों तथा अन्य कार्यालयों में प्रयोग में आने वाली सभी रबड़ की मोहरें और कार्यालय की मुद्राएं द्विभाषिक रूप में हिंदी के शब्द ऊपर रखते हुए प्रयोग की जाएं।

(2) पदनाम, कार्यालय का नाम, पता आदि के बारे में जो मोहरें वर्तमान आदेशों के अनुसार द्विभाषी रुप में बनाई जाती हैं, वे इस प्रकार बनाई जाएं कि उनमें एक पंक्ति हिंदी की और फिर एक पंक्ति अंग्रेजी की हो या एक ही पंक्ति में हिंदी और

उसके बाद अंग्रेजी में लिखा हो। ये निदेश नई बनाई जाने वाली मोहरों पर लागू किए जाएं।

(3) बैंकों के चैकों पर यदि द्विभाषी मोहरें लगाने के लिए पर्याप्त स्थान उपलब्ध न हो तो क और ख क्षेत्रों के कार्यालयों आदि में चैकों पर मोहरें केवल हिंदी में और ग क्षेत्र के कार्यालयों में केवल हिंदी या अंग्रेजी में लगा दी जाएं।

(4) जो मोहरें टिप्पणी आदि की जगह पर बनाई जाती हैं वे या तो द्विभाषी बनाई जाएं या क और ख क्षेत्रों के कार्यालयों आदि में केवल हिंदी में और ग क्षेत्र के कार्यालयों में केवल हिंदी या अंग्रेजी में बनवा ली जाएं।

(5) रबड़ की मोहरें तैयार करते समय सभी भाषाओं के अक्षर समान आकार के होने चाहिए।

(6) क और ख क्षेत्रों में स्थित कार्यालयों में नाम पट्ट, रबड़ की मोहरें, पत्र शीर्ष, लोगो (प्रतीक) आदि द्विभाषी रुप में बनवाए जाएं।

(7) ग क्षेत्रों में स्थित कार्यालयों में नाम पट्ट, रबड़ की मोहरें, पत्र शीर्ष, लोगो (प्रतीक) आदि त्रिभाषी रुप में बनवाए जाएं।

(का.ज्ञा.सं.559/68-रा.भा.(क-1) दिनांक. 17.10.1968 क्रम सं.27)

(का.ज्ञा.सं.1/14013/18/85-रा.भा.(क-1) दिनांक.14.1.1985 क्रम सं.31)

(का.ज्ञा.सं.1/14034/1/87-रा.भा.(क-1) दिनांक. 30.12.1987 अनुपूरक संकलन क्रम सं188)

(का.ज्ञा.सं.12024/2/92-रा.भा.(ख-2) दिनांक. 21.7.1992)

2.8 नाम पट्टों, रबड़ की मोहरों आदि पर देवनागरी रुप में नाम लिखने की विधि

देवनागरी के नाम पट्टों, मोहरों आदि पर पूरा नाम तो एक रीति से लिखा जा सकता है, परंतु संक्षिप्त नाम लिखने के लिए अनेक पद्धतियां प्रचलित हैं। उदाहरण के लिए, यदि किसी व्यक्ति का नाम दीनानाथ शर्मा है, तो देवनागरी लिपि में उसका संक्षिप्त नाम नीचे दिए हुए विकल्प में से किसी एक के अनुसार लिखा जा सकता है-

1. देवनागरी वर्णमाला के अनुसार, मात्राओं का प्रयोग करते हुए आद्यअक्षर लिखकर जैसे दी. ना. शर्मा।
2. देवनागरी वर्णमाला के अनुसार, बिना मात्राओं के प्रयोग के आद्य अक्षर लिख कर जैसे द. न. शर्मा।
3. नाम के आद्य अक्षर रोमन वर्णमाला के अनुसार देवनागरी लिपि में लिखकर जैसे डी. एन. शर्मा।

यह प्रत्येक की अपनी रुचि पर निर्भर करता है कि वह अपना नाम किस प्रकार लिखें। यदि कोई व्यक्ति अपना नाम किसी एक रीति से लिखना चाहता है तो उसे दूसरी रीति से नाम लिखने को बाध्य नहीं किया जा सकता।

(का.ज्ञा.सं.1/14013/3/76 रा.भा.(क-1) दिनांक 10.6.1976 क्रम सं.29)

2.9 केंद्रीय सरकार द्वारा स्थापित और अनुदान प्राप्त संस्थाओं के नाम-पट्ट, आम नोटिस आदि

यह उचित होगा कि केंद्रीय सरकार द्वारा स्थापित और अनुदान पाने वाली संस्थाएं, जिनके कार्यालय हिंदी भाषी क्षेत्र में स्थित हैं, उदाहरणार्थ, संगीत नाटक अकादमी, साहित्य अकादमी, नेशनल स्कूल ऑफ ड्रामा आदि के हिंदी भाषी क्षेत्र में स्थित कार्यालयों में नाम पट्ट अंग्रेजी और हिंदी दोनों भाषाओं में हों तथा वे अपने आम नोटिस दोनों ही भाषाओं में जारी करें। ऐसा करने से उन क्षेत्रों में रहने वाली जनता को सुविधा होगी।

क और ख क्षेत्रों में स्थित संस्थाओं में नामपट्ट, रबड़ की मोहरें, पत्र शीर्ष लोगो, प्रतीक आदि द्विभाषी रुप में तैयार कराए जाएं।

ग क्षेत्र में स्थित संस्थाओं में नाम-पट्ट, रबड़ की मोहरें, पत्र शीर्ष, लोगो प्रतीक आदि त्रिभाषी रुप में तैयार कराए जाएं।

(का.ज्ञा.सं.11020/12/72 रा.भा.दिनांक 7.6.1972,क्रम सं. 34)

(का.ज्ञा.सं.12024/2/92 रा.भा.(ख-2) दिनांक 21.7.1972)

2.10 सम्मेलनों में साइन बोर्डों के लिए हिंदी और अंग्रेजी दोनों का प्रयोग

विभिन्न मंत्रालयों द्वारा आयोजित सभी सम्मेलनों और बैठकों में विशेषकर दिल्ली में सभी साइन बोर्डों आदि पर दोनों भाषाओं का प्रयोग होना चाहिए।

(का.ज्ञा.सं.6/52/69 रा.भा.दिनांक 29.12.1969,क्रम सं.33)

2.11 अहिंदी भाषी क्षेत्रों में स्थित केंद्रीय कार्यालयों में बोर्डों, नाम-पट्टों आदि में भाषाओं का प्रयोग

अहिंदी भाषी क्षेत्रों में स्थित केंद्रीय कार्यालयों में जनता की सूचना के लिए लगाए जाने वाले नामों के बोर्डों, नाम-पट्टों तथा उनके द्वारा जनता की सूचना के लिए लगाए जाने वाले नोटिस बोर्डों आदि में क्षेत्रीय भाषा, हिंदी तथा अंग्रेजी का प्रयोग किया जाए, जिसका क्रम भी इसी रुप में हो और सभी भाषाओं की लिपियों के अक्षरों का आकार बराबर हो। कार्यालयों के आंतरिक प्रयोग के लिए नाम-पट्ट, सूचना पट्ट पत्र शीर्ष आदि हिंदी और अंग्रेजी में तैयार किए जाएं। तमिलनाडु में यथास्थिति रखी जाए।

(का.ज्ञा.सं.1714013/5/76 रा.भा.(क्रम-1) दिनांक 18.6.1977,क्रम सं. 35)

(का.ज्ञा.सं.1/44013/2/86 रा.भा.(क्र.1) दिनांक 26.2.1986,क्रम सं. 37)

2.11.1 **अहिंदी भाषी क्षेत्रों में स्थित कार्यालयों में बोर्डों, नाम-पट्टों आदि में भाषाओं का प्रयोग तथा पदनामों में एकरुपता**

अहिंदी भाषी क्षेत्रों में स्थित कार्यालयों में बोर्डों, नाम-पट्टों आदि में पदनाम, कार्यालय नाम आदि क्षेत्रीय भाषा में लिखने के लिए मानव संसाधन विकास मंत्रालय (शिक्षा विभाग) के वैज्ञानिक तथा तकनीकी शब्दावली आयोग द्वारा प्रकाशित समेकित प्रशासन शब्दावली में दिए गए पदनामों और कार्यालय नामों का प्रयोग किया जाए ताकि एकरुपता बनी रहे।

यदि किसी कार्यालय नाम या पदनाम के लिए संबंधित राज्य सरकार द्वारा क्षेत्रीय भाषा में नाम रखा गया है तो क्षेत्रीय भाषा में नाम या पदनाम लिखते समय उसी नाम/पदनाम, का प्रयोग किया जा सकता है। यदि विभाग उपक्रम, बैंक आदि चाहे तो संबंधित के अनुसार उसे बदल सकता है।

(का.ज्ञा.सं.11034/13/87 - अ.वि.एकक.दिनांक 4.1.1988)

2.12 **सरकारी समारोहों के लिए निमंत्रण-पत्र**

सभी सरकारी समारोहों के निमंत्रण पत्र हिंदी और अंग्रेजी दोनों भाषाओं में जारी किए जाएं। कार्ड के एक ओर अंग्रेजी होनी चाहिए और दूसरी ओर हिंदी। आवश्यकता के अनुसार इनमें हिंदी और अंग्रेजी के अतिरिक्त प्रादेशिक भाषाओं का भी प्रयोग किया जा सकता है। त्रिभाषिक निमंत्रण-पत्र किस प्रकार छापे जाएं, यह बात संयोजक पर छोड़ दी गई है।

(का.ज्ञा.सं.12/9/60 रा.भा.दिनांक 21.5.1960,क्रम सं. 37)

(का.ज्ञा.सं.5/56/70 रा.भा.दिनांक 19.5.1970,क्रम सं. 38)

(का.ज्ञा.सं.11015/80/72 रा.भा.दिनांक 10.6.1974,क्रम सं. 39)

2.13 **फाइल कवरों पर विषय-हिंदी में**

मंत्रालयों/विभागों और हिंदी भाषी क्षेत्रों में स्थित उनके संबद्ध व अधीनस्थ कर्यालयों में निम्नलिखित प्रकार की सभी फाइलों के फाइल कवरों पर विषय हिंदी और अंग्रेजी दोनों भाषाओं में लिखे जाएं:-

1. जिन फाइलों में टिप्पण तथा पत्र हिंदी में हों।
2. उन अनुभागों में 80 प्रतिशत या उससे अधिक कर्मचारी हिंदी जानते हैं।
3. हिंदी जानने वाले या हिंदी सीखे हुए कर्मचारियों द्वारा निपटाई जाने वाली फाइलों पर।

अन्य मामलों में भी जहां तक हो सके स्वैच्छिक रुप से इसी प्रकार की पद्धति अपनाई जाए। अहिंदी भाषी क्षेत्रों में स्थित संबद्ध और अधीनस्थ कार्यालयों में हिंदी जानने वाले या हिंदी सीखे हुए कर्मचारियों की उपलब्धता के आधार पर यह पद्धति अपनाई जाए।

(का.ज्ञा.सं.11015/2/73 रा.भा.दिनांक 9.1.1974,क्रम सं. 20)

2.14 स्टाफ कार की प्लेटों पर नाम

मंत्रालयों/विभागों और हिंदी भाषी क्षेत्रों में स्थित संबद्ध और अधीनस्थ कार्यालयों में स्टाफ कारों की प्लेटों पर कार्यालयों के नाम अंग्रेजी और हिंदी दोनों भाषाओं में लिखवाए जाएं। हिंदी में नाम ऊपर हो और अंग्रेजी में उसके नीचे।

(का.ज्ञा.सं.11015/49/72 रा.भा.दिनांक 7.9.1972,क्रम सं. 21)

2.15 अंतर्राष्ट्रीय सम्मेलनों/समारोहों में राजभाषा हिंदी को उचित स्थान

अंतर्राष्ट्रीय सम्मेलनों/समारोहों में देश की राजभाषा हिंदी को उचित स्थान दिया जाए और इस संबंध में छपने वाले साहित्य, परिपत्रों, बैनरों, बैजों आदि में हिंदी का प्रयोग किया जाए।

(का.ज्ञा.सं.14032/7/79 रा.भा.दिनांक 27.7.1979,क्रम सं. 22)

2.16 प्रदर्शनियों में हिंदी का प्रयोग

हिंदी भाषी क्षेत्रों में या उन क्षेत्रों में जहां की अधिकांश जनता हिंदी समझती है, प्रदर्शनियों में प्रचार माध्यम के रुप में हिंदी का अधिकाधिक प्रयोग किया जाए। इन क्षेत्रों में प्रदर्शनियों में प्रचार सामग्री भी यथासंभव हिंदी में उपलब्ध कराई जाए। ट्रेड फेयर ऍथारिटी ऑफ इंडिया द्वारा आयोजित प्रदर्शनियों में भाग लेने वाली सरकारी तथा सार्वजनिक क्षेत्र के संस्थानों द्वारा प्रदर्शनियों आदि में हिंदी का उपयुक्त प्रयोग किया जाए और अपने मंडपों में वस्तुओं के नाम / परिचय आदि देने में हिंदी का समुचित प्रयोग किया जाए।

(का.ज्ञा.सं.1/14011/1/75 रा.भा.(क्र-1) दिनांक 3.5.1973,क्रम सं. 50)

(का.ज्ञा.सं.1/12021/3/84/ रा.भा.(क्र-1)दिनांक 23.8.1984,संकलन क्रम सं. 51)

2.17 विदेश यात्रा के दौरान बातचीत में हिंदी का प्रयोग

जब भी अधिकारी तथा भारतीय शिष्ट मंडल विदेशों की यात्रा पर जाएं तो अपने साथियों और समकक्ष सहयोगियों के साथ बातचीत में हिंदी का प्रयोग करें तो इससे देश का गौरव बढ़ेगा।

(का.ज्ञा.सं. 1/14034/6/85 रा.भा.(क-1) दिनांक 28.1.1986,क्रम सं. 43)

2.18 मैनुअलों, फार्मों, कोडों आदि की हिंदी-अंग्रेजी द्विभाषी (डिगलॉट रुप में) छपाई

मैनुअल, फार्म, कोड आदि हिंदी-अंग्रेजी (डिगलॉट रुप में) द्विभाषी छपवाए जाएं। फार्मों आदि के हिंदी शीर्षक पहले दिए जाएं और अंग्रेजी शीर्षक बाद में। हिंदी अक्षरों के टाइप अंग्रेजी से छोटे न हों।

सभी मंत्रालय / विभाग अपने नियंत्रणाधीन प्रेसों तथा अन्य कार्यालयों को आवश्यक अनुदेश जारी करें कि वे कोई भी सामग्री केवल अंग्रेजी में छापने के लिए स्वीकार न करें।

शहरी विकास मंत्रालय की ओर से प्रकाशन निदेशालय को अनुदेश हैं कि कोड/मैनुअल आदि छपाई के लिए तभी स्वीकार किए जाए जब वे द्विभाषी रुप में हों।

(का.ज्ञा.सं.12012/5/76 रा.भा.(ख) दिनांक 31.8.1976, क्रम सं. 44)

(का.ज्ञा.सं.14034/8/88 रा.भा.(क-1) दिनांक 31.5.1988, अनुपूरक क्रम सं 193)

2.19 फार्मों का द्विभाषी उपलब्ध करवाना

यह सुनिश्चित किया जाए कि कोई भी फार्म न तो एक भाषा में छपे, न ही एक भाषा में जारी किया जाए। यदि किसी विशेष स्थिति में कोई फार्म हिंदी तथा अंग्रेजी दोनों भाषाओं में अलग-अलग छपे तो उस फार्म के हिंदी और अंग्रेजी रुपांतरण सभी जगह उपलब्ध रहने चाहिए और इस बात का ध्यान रखा जाना चाहिए कि जनता का कोई व्यक्ति इनमें से जिस भाषा का फार्म मांगे वह फार्म उस भाषा में उसे मिल सके।

अनुदेश जारी किया जाए कि बाहर से खरीदे जाने वाले फार्म भी द्विभाषिक ही हों।

(का.ज्ञा.सं.12012/5/88 रा.भा. (ख-1) दिनांक 20.7.1988, अनुपूरक क्रम सं 194)

2.20 (क)मनीआर्डर फार्म और जनता व्दारा इस्तेमाल में लाए जाने वाले इसी प्रकार के अन्य फार्मों का प्रादेशिक भाषाओं में मुद्रण

1. जहां अनावश्यक रुप से फार्मों का आकार बढ़ाए बिना संभव हो वहां ऐसे फार्मों को हिंदी, अंग्रेजी और प्रादेशिक भाषा (यदि वह हिंदी के अलावा हो) में छापा जाए। ऐसे मामलों में होने वाले अतिरिक्त व्यय को महत्व न दिया जाए।
2. यदि ऐसे फार्मों का कोई खंड सरकारी कार्यालय में भरा जाने वाला हो या उसकी लेखा परीक्षा कार्यालय में आवश्यकता हो तो ऐसे खंडों को प्रादेशिक भाषाओं में अनूदित करना आवश्यक नहीं है और उन्हें केवल हिंदी/अंग्रेजी में छापा जाना चाहिए।
3. लंबे फार्म, जैसे आयकर और सीमा शुल्क के फार्म, हिंदी, अंग्रेजी और प्रादेशिक भाषाओं में अलग-अलग रुप से छापे जाने चाहिए। इन फार्मों के लिए भी उपर्युक्त (2) में उल्लिखित विकल्प लागू होगा।

(का.ज्ञा.सं.12012/11/78 रा.भा. (ख-1) दिनांक 8.9.1978, क्रम सं. 45)

2.21 सम्मेलनों, बैठकों की कार्यसूची / कार्यसूची की टिप्पणियां / कार्यवृत्त हिंदी-अंग्रेजी द्विभाषी रुप में

मंत्रालयों/विभागों तथा हिंदी भाषी क्षेत्रों में स्थित केंद्रीय सरकार के संबद्ध तथा अधीनस्थ कार्यालयों और उनके नियंत्रण में या स्वामित्व में काम करने वाली कंपनियों तथा

निगमों की अंतर विभागीय बैठकों व सम्मेलनों की कार्यसूची, कार्यसूची की टिप्पणियों और कार्यवृत्त को हिंदी और अंग्रेजी दोनों भाषाओं में जारी किया जाए। जो विषय बहुत बाद में कार्यसूची में शामिल किए जाने आवश्यक हैं, उनके लिए अपवाद हो सकता है।

(का.ज्ञा.सं.14.3.69 रा.भा. दिनांक 13.8.1970, क्रम सं. 46)
(का.ज्ञा.सं.11018/9/74 रा.भा.दिनांक 12.3.1974, क्रम सं. 47)
(का.ज्ञा.सं.11018/9/74 रा.भा.दिनांक 12.3.1974, क्रम सं. 48)

2.21 (क) क क्षेत्र में स्थित मंत्रालयों / विभागों और कार्यालयों / उपक्रमों आदि की बैठकों की कार्यसूची तथा कार्यवृत्त केवल हिंदी में जारी करना

केवल क क्षेत्र में परिचालित होने वाली कार्यसूची'कार्यवृत्त आदि एवं उससे संबंधित पत्राचार केवल हिंदी में परिचालित किए जा सकते हैं।

(का.ज्ञा.सं.1/14034/6/88 रा.भा. (क-1) दिनांक 20.6.1988, अनुपूरक संकलन क्रम सं 192)

(का.ज्ञा.सं.1/20012/3/92 रा.भा. (क-1) दिनांक 30.7.1992)

2.22 बिल्लों पर हिंदी का प्रयोग

केंद्रीय सरकार के अधिकारी/कर्मचारी अपनी सेवा अथवा कार्यालय नाम के बिल्ले अंग्रेजी के साथ-साथ हिंदी में भी लगाए। टोपी और कंधे पर लगाए जाने वाले प्रतीक चिह्न और सेवा संबंधी बिल्ले जो संगठन और सेवा के प्रतीक होते हैं, केवल देवनागरी में तैयार किए जा सकते हैं। वर्दियों पर काढ़े जाने वाले नाम भी दोनों भाषाओं में काढ़े जाएं। यह आदेश केंद्रीय सरकार के सभी राज्यों में काम कर रहे वर्दी पहनने वाले कर्मचारियों / अधिकारियों पर लागू होते हैं।

(का.ज्ञा.सं.1/14011/5/77 रा.भा. (क-1) दिनांक 15.7.1977, क्रम सं. 53)
(का.ज्ञा.सं.1/14011/5/77 रा.भा. (क-1) दिनांक 29.12.1977, क्रम सं. 54)
(का.ज्ञा.सं.1/14011/5/77 रा.भा. (क-1) दिनांक 22.7.1978, क्रम सं. 55)

2.23 कर्मचारियों की सेवा पुस्तिकाओं / रजिस्टरों में प्रविष्टियां

क व ख क्षेत्रों में स्थित केंद्रीय सरकार के कार्यालयों में रखे जाने वाले रजिस्टरों / सेवा पुस्तकाओं में प्रविष्टियां हिंदी में की जाएं। ग क्षेत्र में स्थित कार्यालयों में ऐसी प्रविष्टियां यथासंभव हिंदी में की जाएं।

(का.ज्ञा.सं. 12024/2/92 रा.भा. (ख-2) दिनांक 21.7.1992)

2. 24 पियन बुकों में प्रविष्टियां

क और ख क्षेत्रों में स्थित कार्यालयों द्वारा पियन बुक में प्रविष्टियां हिंदी में की जाएं।

(का.ज्ञा.सं.11015/14/74 रा.भा. (क-2) दिनांक 30.10.1974, क्रम सं. 58)

2.25 सरकारी उद्यमों द्वारा तैयार किए जाने वाले माल पर विवरण हिंदी में भी देना

सरकार के विभिन्न उद्यमों द्वारा तैयार किए गए माल पर विवरण अंग्रेजी के साथ-साथ हिंदी में भी दिए जाएं।

(का.ज्ञा.सं.14011/1/76 रा.भा. (क-2) दिनांक 27.2.1976, क्रम सं. 107)

2.26 सरकारी कंपनियों, निगमों आदि की वार्षिक बैठकों में प्रस्तुत रिपोर्टों का हिंदी में भी प्रकाशन

सरकारी कंपनियों / निगमों आदि की शेयर होल्डरों की वार्षिक बैठकों में अध्यक्षों आदि द्वारा प्रस्तुत की जाने वाली रिपोर्ट हिंदी में भी प्रकाशित की जाएं और जहां बैठक की कार्यवाही तथा वार्षिक रिपोर्ट का सारांश समाचार पत्रों में प्रकाशित किया जाता है वहां उनके हिंदी पाठ को हिंदी समाचार पत्रों में प्रकाशित कराया जाए।

(का.ज्ञा.सं.11015/8/73 रा.भा. दिनांक 8.8.1974, क्रम सं. 12)

2.27 अधिसूचित कार्यालयों को हिंदी का प्रयोग करने के लिए विनिर्दिष्ट करना

1. क और ख क्षेत्रों में स्थित केंद्रीय सरकार के सभी कार्यालयों में, जो राजभाषा नियम 10 (4) के अंतर्गत अधिसूचित किए गए हैं, हिंदी में प्रवीणता प्राप्त सभी कर्मचारी 1.4.1988 से निम्नलिखित पत्रों आदि का प्रारुप केवल हिंदी में प्रस्तुत करें :-
   1. क तथा ख क्षेत्रों के राज्य या संघ राज्य क्षेत्र के प्रशासन और इन क्षेत्रों में स्थित केंद्रीय सरकार के कार्यालयों, उपक्रमों आदि और गैर-सरकारी व्यक्तियों को जाने वाले सभी पत्रादि।
   2. हिंदी में प्राप्त सभी पत्र आदि के उत्तर।
   3. किसी कर्मचारी द्वारा हिंदी में दिए गए या हस्ताक्षर किए गए आवेदन, अपील या अभ्यावेदन का उत्तर।
   4. संबंधित पत्रावलियों पर टिप्पणियां।

2. ये आदेश राजभाषा नियम 1976 के नियम 2 (ख) में केंद्गीय सरकार के कार्यालय की परिभाषा के अनुसार केंद्गीय सरकार के सभी मंत्रालय/विभाग/संबद्ध या अधीनस्थ कार्यालय और केंद्गीय सरकार के स्वामित्व में या नियंत्रण के अधीन सभी निगम कंपनी या राष्ट्रीयकृत बैंक आदि पर लागू होंगे।

3. केंद्गीय सरकार के मंत्रालय/विभाग/कार्यालय/उपक्रम/बैंक आदि अपने विभाग/कार्यालय आदि के काम और परिस्थिति को देखते हुए यदि ऊपर पैरा 1 में दिए गए प्रयोजनों के अलावा अपने विभाग/ कार्यालय आदि में हिंदी में प्रवीणता प्राप्त कर्मचारियों द्वारा किसी प्रयोजन के लिए हिंदी में काम करने का निदेश देना चाहे तो वे इस बारे में आदेश नियम 8(4) के अधीन स्वयं जारी करेंगे।

4. सभी मंत्रालय/ विभाग/ कार्यालय/ उपक्रम/ राष्ट्रीयकृत बैंक आदि उपर्युक्त आदेश को कार्यान्वित करने के लिए अपने कार्यालयों आदि में हिंदी में प्रवीणता प्राप्त कर्मचारियों/अधिकारियों और उनके ऊपर काम देखने वाले अधिकारियों के लिए कार्यशालाओं का आयोजन करें, जिससे इन कर्मचारियों/ अधिकारियों को हिंदी में प्रारुप प्रस्तुत करने और उनका अनुमोदन करने का आवश्यक अभ्यास हो जाए।

(का.ज्ञा.सं.1/14013/9/87 रा.भा. (क-1) दिनांक 23.11.1987)

(का.ज्ञा.सं.1/14013/9/87 रा.भा. (क-1) दिनांक 5.9.1988, अनुपूरक क्रम सं. 186)

2.28 **प्रशिक्षण संस्थानों में हिंदी का प्रयोग**

केंद्रीय सरकार के प्रशिक्षण संस्थानों में निम्न प्रकार से पढ़ाने की व्यवस्था की जाए-

1. केंद्रीय सरकार के सभी प्रशिक्षण संस्थानों में चाहे वे किसी भी क्षेत्र में स्थित हों, प्रशिक्षण सामग्री दोनों भाषाओं में तैयार कराई जाए और प्रशिक्षणार्थियों की मांग के अनुसार हिंदी या अंग्रेजी में उन्हें उपलब्ध कराई जाए।
2. यदि प्रशिक्षण के दौरान या अंत में परीक्षा ली जाती हो तो ऐसी परीक्षा में प्रश्न पत्र दोनों भाषाओं में तैयार कराएं जाएं तथा प्रशिक्षणार्थियों को इस बात की छूट दी जाए कि वे प्रश्नों का उत्तर हिंदी या अंग्रेजी में दे सकते हैं।

3. यदि किसी प्रशिक्षण पाठ्यक्रम में केवल क तथा ख क्षेत्र से प्रशिक्षणार्थी आते हैं तो वहां सामान्यतया हिंदी में प्रशिक्षण दिया जाए। परंतु यदि पर्याप्त मात्रा में प्रशिक्षणार्थी अंग्रेजी में प्रशिक्षण लेना चाहें तो उनके लिए अंग्रेजी में भी प्रशिक्षण देने की व्यवस्था की जाए।
4. जिन प्रशिक्षण पाठ्यक्रमों के लिए ग क्षेत्र से या सभी क्षेत्रों से प्रशिक्षणार्थी आते हैं वहां अंग्रेजी में प्रशिक्षण दिया जा सकता है। परंतु यदि पर्याप्त संख्या में प्रशिक्षणार्थी हिंदी में प्रशिक्षण लेना चाहें, तो उनके लिए प्रशिक्षण देने की व्यवस्था की जाए।
5. जहां पर्याप्त संख्या में हिंदी में प्रशिक्षण पाने के इच्छुक प्रशिक्षणार्थी न हो वहां भी, जहां तक संभव हो सके, ऐसे व्यक्तियों को भाषण के लिए बुलाया जाए जो हिंदी व अंग्रेजी दोनों भाषाओं का ज्ञान रखते हों, ताकि प्रशिक्षणार्थी अपनी सुविधानुसार हिंदी या अंग्रेजी में प्रश्न पूछ सकें।
6. प्रशिक्षण संस्थाओं के प्रशिक्षकों को हिंदी और अंग्रेजी दोनों भाषाओं का कार्यसाधक ज्ञान होना चाहिए। जिन प्रशिक्षकों को हिंदी का कार्यसाधक ज्ञान प्राप्त न हो उन्हें हिंदी भाषा का प्रशिक्षण दिलाया जाए। राजभाषा विभाग के अधीन केंद्रीय हिंदी प्रशिक्षण संस्थान में इसके लिए अल्पकालीन गहन पाठ्यक्रम चलाने की व्यवस्था है।
7. यदि किसी प्रशिक्षण संस्थान में जिसमें उपर्युक्तानुसार हिंदी में प्रशिक्षण दिया जाना चाहिए, हिंदी में प्रशिक्षण देने के लिए योग्य प्रशिक्षक उपलब्ध न हों वहां पर प्रशिक्षण अंग्रेजी व हिंदी की मिलीजुली भाषा में भी दिया जा सकता है।

ये निदेश केंद्रीय सरकार के स्वामित्व या नियंत्रणाधीन उपक्रमों व बैंकों आदि पर भी लागू होंगे।

ये निदेश 1 जनवरी, 1989 के बाद आरंभ किए जाने वाले प्रशिक्षण कोर्सों पर लागू होंगे। प्रशिक्षण संस्थाएं इस दौरान इन निदेशों के अनुपालन के लिए आवश्यक तैयारी कर लें, जैसे प्रशिक्षण सामग्री का हिंदी में अनुवाद और प्रशिक्षकों को हिंदी का कार्यसाधक ज्ञान दिलाना, इत्यादि।

(का.ज्ञा.सं.13034/50/87 रा.भा. (ग) दिनांक 6.11.1987)
(का.ज्ञा.सं.14012/8/88 रा.भा. (ग) दिनांक 7.9.1988, अनुपूरक क्रम सं. 196)

2.29 हिंदी का कार्यसाधक ज्ञान प्राप्त कर्मचारियों की संख्या का पता लगाना और कार्यालयों को राजपत्र में अधिसूचित करना

ऐसे कर्मचारियों के आंकड़े इकट्ठे किए जाएं जिन्हें हिंदी का कार्यसाधक ज्ञान प्राप्त हो और ऐसे कार्यालयों को, जहां के 80 प्रतिशत या अधिक कर्मचारियों को (समूह घ को छोड़कर) हिंदी का कार्यसाधक ज्ञान हो गया है राजपत्र में राजभाषा नियम 10 (4) के अंतर्गत अधिसूचित किया जाए। अधिसूचना की प्रतिलिपि राजभाषा विभाग को भेजी जाए।

(का.ज्ञा.सं.1/14011/18/76 रा.भा. (क-1) दिनांक 24.1.1977, क्रम सं. 90)

2.30 सरकारी प्रकाशनों आदि का द्विभाषी रुप में प्रकाशन

राजभाषा अधिनियम, 1963 की धारा 4 के अनुसरण में गठित संसदीय राजभाषा समिति के प्रतिवेदन खंड-4 में उपर्युक्त विषय में निम्नलिखित संस्तुति की गई है·

भारत सरकार के मंत्रालयों/विभागों/कार्यालयों/संगठनों आदि द्वारा केवल अंग्रेजी में ही नहीं बल्कि द्विभाषी रूप में भी प्रकाशन निकाले जाएं। हिंदी प्रकाशनों की मुद्गित संख्या अंग्रेजी प्रकाशनों की तुलना में कम न हो और द्विभाषिक प्रकाशनों में हिंदी के पृष्ठों की संख्या अंग्रेजी के पृष्ठों की संख्या से कम न हो और हिंदी में नए मौलिक प्रकाशन निकाले जाएं।

2. राजभाषा विभाग के 28.1.1992 के संकल्प संख्या 12019/10/91-रा.भा (भा.) के अनुसार समिति की उक्त संस्तुति स्वीकार कर ली गई है।

3. इस संबंध में उल्लेखनीय है कि राजभाषा नियम, 1976 के नियम 11 में दिए गए प्रावधान के अनुसार प्रक्रिया संबंधी सभी साहित्य हिंदी और अंग्रेजी में द्विभाषी (डिगलाट) रुप में यथास्थिति मुद्गित साइक्लोस्टाइल और प्रकाशित किया जाना अपेक्षित है। इसके अतिरिक्त राजभाषा अधिनियम 1963 (यथासंशोधित 1967 की धारा 3 (3) में प्रावधान है कि सभी प्रशासनिक या अन्य प्रतिवेदन अनिवार्य रुप से हिंदी और अंग्रेजी दोनों भाषाओं में ही निकाले जाएं।

4. इस परिप्रेक्ष्य में कृपया संसदीय राजभाषा समिति की संस्तुति पर किए गए निर्णय का पूरी तरह अनुपालन सुनिश्चित किया जाए और आवश्यक जांच बिंदु भी निश्चत कर दिए जाएं ताकि राजभाषा अधिनियम की धारा 3 (3) में उल्लिखित प्रकाशन डिगलॉट फार्म में ही छपें और अन्य कोई भी प्रकाशन न तो केवल अंग्रेजी में प्रकाशित किया जाए और न ही उसके हिंदी रूप की मुद्गण संख्या अंग्रेजी रुप की मुद्गण संख्या से कम हो।

2.31 क क्षेत्र में स्थित केंद्रीय सरकार के कार्यालयों में अधिकारियों / कर्मचारियों से संबंधित अनुशासनात्मक कार्रवाई हिंदी में करना।

क क्षेत्र में सभी अधिकारियों/कर्मचारियों के विरुद्ध की जाने वाली अनुशासनात्मक कार्रवाई हिंदी में की जाए। अपवादस्वरुप यदि जांच अधिकारी को हिंदी का कार्यसाधक ज्ञान न हो या यदि संबंधित अधिकारी/कर्मचारी मांग करे तो यह कार्रवाई अंग्रेजी में की जा सकती है।

(का.ज्ञा.सं.1/14013/15/87 रा.भा. (क-1) दिनांक 30.10.1987, अनुपूरक क्रम सं 184)

2.32 राजभाषा (संघ के शासकीय प्रयोजनों के लिए प्रयोग) नियम 1976 के नियम 10 (4) के अंतर्गत मंत्रालयों/विभागों को अधिसूचित करना- स्पष्टीकरण

राजभाषा नियम 10 (4) के अंतर्गत सभी मंत्रालयों / विभागों को अधिसूचित करने की कार्रवाई गृह मंत्रालय, राजभाषा विभाग द्वारा की जाएगी। मंत्रालयों / विभागों के अधीनस्थ संबद्ध कार्यालयों, उपक्रमों, निगमों, बैंकों आदि के कार्यालयों को अधिसूचित करने की कार्रवाई उनके संबंधित मंत्रालय विभाग द्वारा ही की जाएगी। ऐसा करते समय राजभाषा विभाग की पूर्वानुमति की आवश्यकता नहीं है। केवल अधिसूचना की एक प्रति राजभाषा विभाग को सूचनार्थ भेज देना ही पर्याप्त है। यदि मंत्रालय / विभाग अपने किसी अधिसूचित अधीनस्थ संबद्ध कार्यालय, उपक्रम, निगम, बैंक आदि के कार्यालय की अधिसूचना को रद्द करें तो इसके लिए उन्हें राजभाषा विभाग की पूर्व सहमति अवश्य ले लेनी चाहिए।

(का.ज्ञा.सं.12014/1/87 रा.भा. (ख-2) दिनांक 11.3.1988, अनुपूरक क्रम सं 901)

2.33 देवनागरी टंकण व आशुलिपि में प्रशिक्षित कर्मचारियों की सेवाओं का समुचित उपयोग

देवनागरी टंकण व आशुलिपि में प्रशिक्षित कर्मचारियों की सेवाओं का हिंदी के काम में समुचित उपयोग किया जाए। जहां उनकी संख्या के अनुरुप टाइपराइटर उपलब्ध नहीं है वहां तुरंत देवनागरी टाइपराइटर खरीदे जाएं। यदि किसी अन्य कारण से प्रशिक्षित कर्मचारियों की सेवाओं का हिंदी के काम में उपयोग नहीं हो पा रहा है तो उन कारणों को तुरंत दूर किया जाए।

हिंदी टंकण/आशुलिपि के लिए वर्तमान में शेष रहे सभी प्रशिक्षणार्थी कर्मचारियों को समयबद्ध योजना के अनुसार यथाशीघ्र प्रशिक्षित करा लिया जाए, इसके लिए प्रतिवर्ष प्रशिक्षण के लक्ष्य में 20 प्रतिशत वृद्धि सुनिश्चित की जाए।

(का.ज्ञा.सं.13015/1/90 रा.भा. (घ) दिनांक 17.7.1990)

2.34 वैज्ञानिक तथा तकनीकी संगोष्ठियों, सम्मेलनों आदि में हिंदी में शोध पत्र आदि प्रस्तुत करने को बढ़ावा दिया जाना और वैज्ञानिक पत्रिकाओं में उनका प्रकाशन

सभी प्रकार की संगोष्ठियों, परिचर्चाओं, सम्मेलनों आदि में न केवल राजभाषा हिंदी में शोध-पत्र आदि पढ़ने की छूट दी जाए बल्कि वैज्ञानिकों / तकनीशियनों और अन्य कार्मिकों को हिंदी में पेपर पढ़ने के लिए प्रेरित और प्रोत्साहित किया जाए। जिन संगोष्ठियों आदि में हिंदी में भी शोध पत्र पढ़े जाएं उनमें हिंदी-अंग्रेजी दुभाषिए की व्यवस्था की जाए और हिंदी के शोध पत्रों की एक प्रति उसे पहले दे दी जाए ताकि वह साथ के साथ शोध पत्र का अंग्रेजी संगोष्ठी में भाग लेने वालों को उपलब्ध करवा सकें। केवल हिंदी में संगोष्ठियां भी आयोजित करने का प्रयत्न किया जाए।

साथ-साथ यह भी प्रावधान है कि हिंदी में वैज्ञानिक और तकनीकी विषयों पर पेपर छापने के लिए या तो आगे निकलने वाली पत्रिकाओं में ही उन्हें छापने के प्रबंध किए जाएं या उनके लिए अलग वैज्ञानिक पत्रिका निकाली जाएं और उन पत्रिकाओं की एक प्रति राजभाषा विभाग को भी भेजी जाए।

ऐसे वैज्ञानिकों, इंजीनियरों और तकनीशियनों आदि का पता लगाया जाए, जो हिंदी में शोध पत्र तैयार करें, विभिन्न संगोष्ठियों और सम्मेलनों आदि में उन्हें पढ़ें और परिचर्चाओं में भाग लें। प्रौद्योगिकी के क्षेत्र में दिन-प्रतिदिन हो रहे नए-नए अनुसंधानों और विभिन्न क्षेत्रों में हुई प्रगति का लाभ जनता तक पहुंचने के लिए उनकी अधिकतम और नवीनतम जानकारी हिंदी माध्यम में उपलब्ध कराने के प्रयास भी किए जाएं और उन प्रयासों की जानकारी समय-समय पर इस विभाग को भी देने की व्यवस्था की जाए।

हिंदी में लिखे गए शोध पत्रों को अंग्रेजी में लिखे गए शोध पत्रों के समान ही वेटेज दिया जाए और शोध स्तर की वैज्ञानिक और तकनीकी पत्रिकाओं में, जो कि फिलहाल अंग्रेजी में छपती हैं, हिंदी खंड बना कर हिंदी में लिखे शोध पत्रों का प्रकाशन सुनिश्चित किया जाए। लेखों के उच्च स्तर को बनाए रखने के लिए विभाग संस्थान में वैज्ञानिकों की एक नामिका बना ली जाए। उन्हीं में से इंटरप्रेटरों का चयन भी कर लिया जाए। प्रोन्नति के लिए मूल्यांकन करते समय हिंदी में लिखे शोध पत्रों का भी समुचित ध्यान रखा जाए।

(का.ज्ञा.सं.20034/5/88 अ.वि. दिनांक 10.5.1988, 21.12.1988 तथा 20.8.1990)

(का.ज्ञा.सं.20034/23/92 रा.भा. (अ.वि.) दिनांक 31.3.1992)

2.35 **हिंदी टेलीफोन डाइरेक्टरी का प्रयोग**

यह वांछनीय है कि दिल्ली में स्थित केंद्रीय सरकार क मंत्रालयों / विभागों / कार्यालयों द्वारा हिंदी टेलीफोन डाइरेक्टरी का अधिक से अधिक प्रयोग किया जाए।

(का.ज्ञा.सं.6/57/70 रा.भा. दिनांक 7.10.1970)

(का.ज्ञा.सं.1/38/70 रा.भा. दिनांक 22.7.1971)

2.36 **राजभाषा अधिनियम**, 1963 (**यथासंशोधित** 1967) **के प्रावधानों का अनुपालन सुनिश्चित करना - टेलीफोन निर्देशिकाओं को हिंदी और अंग्रेजी दानों भाषाओं में प्रकाशित करने की अनिवार्यता**

दूरसंचार विभाग द्वारा प्रकाशित की जाने वाली टेलीफोन निर्देशिकाओं के हिंदी संस्करण भी अनिवार्य रुप से साथ ही प्रकाशित किए जाएं। विभिन्न नगरों के दूर-संचार कार्यालय क और ख क्षेत्रों में टेलीफोन निर्देशिकाओं के हिंदी संस्करण अंग्रेजी संस्करणों से पहले जारी करें। एक कूपन जैसा कि अब लगाया गया है, वैसा ही अलग रंग के कागज में, हिंदी और अंग्रेजी दोनों भाषाओं में तैयार करके निर्देशिका के दोनों रुपों में लगाया जाए, जिसमें यह पूछा जाए कि उपभोक्ता अगली टेलीफोन डायरेक्टरी हिंदी में अथवा अंग्रेजी में

प्राप्त करना चाहेगा। क और ख क्षेत्रों में प्रारंभ से ही दोनों संस्करण समान संख्या में अथवा हिंदी : अंग्रेजी 40:60 के अनुपात में प्रकाशित किए जाएं ग क्षेत्र में प्रारंभ में हिंदी अंग्रेजी 30:70 के अनुपात में प्रकाशित किए जाएं (और बाद में आवश्यकता के अनुसार ग क्षेत्र में भी दोनों संस्करणों की संख्याएं समान की जा सकती है।)

(का.ज्ञा.सं.14034/4/92 रा.भा. (क-1) दिनांक 26.8.1992)

2.37 **हिंदी में प्राप्त पत्रों को नेमी तौर पर हिंदी अधिकारी/हिंदी अनुभाग को न भेजा जाना**

बहुत से अधिकारियों / कार्यालय द्वारा हिंदी में प्राप्त सभी पत्रों को बिना उनके विषय आदि देखे सीधे हिंदी अधिकारी / हिंदी अनुभाग को आवश्यक कार्रवाई के लिए भेज दिया जाता है। सामान्यत: पहले ऐसे पत्रों को उनके विषय से संबंधित अधिकारी को भेजा जाना चाहिए, बाद में यदि उनके अंग्रेजी या हिंदी में अनुवाद की आवश्यकता हो तो हिंदी अधिकारी की सहायता ली जा सकती है। यह भी देखा गया है कि कई कार्यालयों में हिंदी में प्राप्त प्रत्येक पत्र को उसके अंग्रेजी अनुवाद के लिए हिंदी अधिकारी को भेज दिया जाता है। नियमानुसार हिंदी में प्राप्त ऐसे पत्रों को ही अनुवाद के लिए भेजा जाना चाहिए जो तकनीकी या विधिक प्रकृति के हों। प्रयास यह किया जाना चाहिए कि साधारणतया हिंदी पत्रों का अंग्रेजी अनुवाद न मांगा जाए और उनके उत्तर भी सीधे हिंदी में ही तैयार किए और भेजे जाएं। पत्रों का हिंदी अनुवाद उसी स्थिति में मांगा जाना उचित समझा जा सकता है जबकि उन पर आवश्यक कार्रवाई करने वालों को हिंदी का कार्यसाधक ज्ञान भी न हो।

(का.ज्ञा.सं.20014/2/80 रा.भा. (ख-2) 14.4.1981)

2.38 **राजभाषा अधिनियम और नियमों के अधीन जारी किए गए निदेशों की अवहेलना करने पर कार्रवाई**

केंद्रीय सरकार के प्रत्येक कार्यालय के प्रशासनिक प्रधान का यह उत्तरदायित्व है कि वह सुनिश्चित करे कि राजभाषा अधिनियम और राजभाषा नियमों के अधीन जारी किए गए निदेशों का समुचित अनुपालन हो। यदि कोई कर्मचारी या अधिकारी जान बूझकर राजभाषा के बारे में लागू प्रावधानों की अवहेलना करता है तो प्रकरण में संबंधित नियमों एवं आदेशों के उल्लंघन होने के आधार पर कार्रवाई की जा सकती है।

(का.ज्ञा.सं.12019/3/89 रा.भा. (भा.) दिनांक 22.8.1989)

(का.ज्ञा.सं.14012/6/92 रा.भा. (ग.) दिनांक 19.5.1992)

1. मानक हिंदी वर्णमाला तथा अंक

भारतीय संघ तथा कुछ राज्यों की राजभाषा स्वीकृत हो जाने के फलस्वरुप हिंदी का मानक रुप निर्धारित करना बहुत आवश्यक था, ताकि वर्णमाला में सर्वत्र एकरुपता रहे और टाइपराइटर आदि आधुनिक यंत्रों के उपयोग में लिपि की अनेकरुपता बाधक न हो.

मानक हिंदी वर्णमाला

स्वर- अ आ इ ई उ ऊ ऋ ए ऐ ओ औ.

मात्राएं-

अनुस्वार-

विसर्ग- :

अनुनासिकता चिह्न-

व्यंजन-	क	ख	ग	घ	ङ		
	च	छ	ज	झ	ञ		
	ट	ठ	ड	ढ	ण	ड़	ढ़
	त	थ	द	थ	न		
	प	फ	ब	भ	म		
	य	र	ल	व		ळ	
	श	ष	स	ह			
संयुक्त व्यंजन-			क्ष	त्र	ज्ञ	श्र	
हल चिह्न-		्					
गृहीत स्वन-		ऑ	ख़	ज़	फ़		
देवनागरी अंक-			१	२	३	४	५
			६	७	८	९	०

भारतीय अंकों का अंतराष्ट्रीय रुप-

1	2	3	4	5
6	7	8	9	0

संविधान के अनुच्छेद 343 (1) के अनुसार संघ के राजकीय प्रयोजनों के लिए प्रयुक्त होने वाले अंकों का रुप भारतीय अंकों का अंतराष्ट्रीय रुप होगा, परंतु राष्ट्रपति संघ के किसी भी राजकीय प्रयोजन के लिए भारतीय अंकों के अंतर्राष्ट्रीय रुप के साथ-साथ देवनागरी रुप का प्रयोग भी प्राधिकृत कर सकते हैं.

परिवर्धित देवनागरी वर्णमाला

केंद्रीय हिंदी निदेशालय ने उपर्युक्त मानक हिंदी वर्णमाला के साथ ही परिवर्धित देवनागरी वर्णमाला भी विकसित की है, ताकि उसके माध्यम से सभी भारतीय भाषाओं का लिप्यंतरण देवनागरी में हो सके.

2. **हिंदी वर्तनी का मानकीकरण**

किसी भी भाषा के सीखने-सिखाने में सहायक या बाधक बनने वाले दो प्रमुख तत्व हैं उसका व्याकरण और लिपि. लिपि का एक पक्ष है- सामान्य और विशिष्ट स्वनों के पृथक प्रतीक-वर्णों की समृद्धि, उनका परस्पर स्पष्ट आकार-भेद, लिखावट में सरलता तथा स्थान लाघव एवं प्रयत्न-लाघव.

लिपि का दूसरा पक्ष है, वर्तनी. एक ही स्वन को प्रकट करने के लिए विविध वर्णों का प्रयोग वर्तनी को जटिल बना देता है और यह लिपि का एक सामान्य दोष माना जाता है. यद्यपि देवनागरी लिपि में यह दोष न्यूनतम है, फिर भी उसकी कुछ अपनी विशिष्ट कठिनाइयां भी हैं.

इन सभी कठिनाइयों को दूर कर हिंदी वर्तन में एकरूपता लाने के लिए भारत सरकार के शिक्षा मंत्रालय ने सन् 1961 में एक विशेषज्ञ समिति नियुक्त की थी. समिति ने अप्रैल, 1962 में अरनी अंतिम सिफारिशें प्रस्तुत की, जिन्हें सरकार ने स्वीकृत किया. इन्हें 1967 में हिंदी वर्तनी का मानकीकरण शीर्षक पुस्तिका में व्याख्या तथा उदाहरण सहित प्रकाशित किया गया था.

वर्तनी संबंधी अद्यतन नियम इस प्रकार हैं-

1. **संयुक्त वर्ण**

(क) खड़ी पाई वाले व्यंजन

खड़ी पाई वाले व्यंजनों का संयुक्त रुप खड़ी पाई को हटाकर ही बनाया जान चाहिए, यथा

ख्याति, लग्न, विघ्न	व्यास
कच्चा, छज्जा	श्लोक
नगण्य	राष्ट्रीय
कुत्ता, पथ्य, ध्वनि, न्यास,	स्वीकृति
प्यास, डिब्बा, सभ्य, रम्य,	यक्ष्मा
शय्या,	त्र्यंबक
उल्लेख	

(ख) **अन्य व्यंजन**

(अ) क और फ के संयुक्ताक्षर: संयुक्त, पक्का, दफ्तर आदि की तरह बनाए जाएं.

(आ) ङ, छ, ट, ठ, ड, ढ, द और ह के संयुक्ताक्षर हल् चिह्न लगाकर ही बनाए जाएं, यथा- वाङ्मय, लट्टू, बुड्ढा, विद्या, चिह्न, ब्रह्मा आदि.

(इ) संयुक्त र के प्रचलित तीनों रुप यथावत रहेंगे, यथा- प्रकार, धर्म, राष्ट्र.

(ई) श्र का प्रचलित रुप ही मान्य होगा. इसे श्र्र के रुप में नहीं लिखा जाएगा. त् र के संयुक्त रुप के लिए त्र लिखा जाएगा.

(उ) हल् चिह्न युक्त वर्ण से बनने वाले संयुक्ताक्षर के द्वितीय व्यंजन के साथ इ की मात्रा का प्रयोग संबंधित व्यंजन के तत्काल पूर्व ही किया जाएगा न कि पूरे युग्म से पूर्व यथा- ट् टिम, कुट् टिम, द् वितीय, बुद् धिमान, चिह् नित आदि (कुट्टिम, द्वितीय, बुद्धिमान, चिह्नित नहीं) .

(ऊ) संस्कृत में संयुक्ताक्षर पुरानी शैली में भई लिखे जा सकेंगे, उदाहरणार्थ- संयुक्त, चिह्न, विद्या, चञ्चल, विद्वान, वृद्ध, अंक, द्वितीय, बुद्धि आदि.

2. **विभक्ति चिह्न**

(क) हिंदी के विभक्ति-चिह्न सभी प्रकार के संज्ञा शब्दों में प्रतिपादिक से पृथक लिखे जाएं, जैसे- राम ने, राम को, राम से आदि तथा स्त्री ने, स्त्री को, स्त्री से आदि. सर्वनाम शब्दों में ये चिह्न प्रातिपदिक के साथ मिलाकर लिखे जाएं, जैसे- उसने, उसको, उससे, उसपर आदि.

(ख) सर्वनामों के साथ यदि दो विभक्ति-चिह्न हों तो उनमें से पहला मिलाकर और दूसरा पृथक लिखा जाए, जैसे- उसके लिए, इसमें से.

(ग) सर्वनाम और विभक्ति के बीच ही, तक आदि का निपात हो तो विभक्ति को पृथक लिखा जाए, जैसे- आप ही के लिए, मुझ तक को.

3. **क्रियापद**

संयुक्त क्रियाओं में सभी अंगभूत क्रियाएं पृथक-पृथक लिखी जाएं जैसे- पढ़ा करताहै, आ सकता है, जाया करता है, खाया करता है, जा सकता है, कर सकता है, किया करता था, पढ़ा करता था, खेला करेगा, घूमता रहेगा, बढ़ते चले जा रहे हैं आदि.

4. **हाइफन**

हाइफन का विधान स्पष्टता के लिए किया गया है.

(क) द्वंद्व समास में पदों के बीच हाइफन रखा जाए जैसे- राम-लक्ष्मण, शिव-पार्वती-संवाद, देख-रेख, खाना-पीना, खेलना-कूदना आदि.

(ख) सा, जैसा आदि से पूर्व हाइफन रखा जाए, जैसे- तुम-सा, राम-जैसा, चाकू-से तीखे.

(ग) तत्पुरुष समास में हाइफन का प्रयोग केवल वहीं किया जाए, जहां उसके बिना भ्रम होने की संभावना हो, अन्यथा नहीं, जैसे-भू-तत्व.

सामान्यतः तत्पुरुष समासों में हाइफन लगाने की आवश्यकता नहीं है, जैसे-रामराज्य, राजकुमार, गंगाजल, ग्रामवासी, आत्महत्या आदि.

इसी तरह यदि अ-नख (बिना नख का) समस्त पद में हाइफन न लगाया जाए तो उसे अनख पढे जाने से क्रोध का अर्थ निकल सकता है. अ-नति (नम्रता का अभाव), अनति (थोड़ा), अ-परस (जिसे किसी ने न छुआ हो), अपसर (एक चर्म रोग) , भू-तत्व (पृथ्वी-तत्व), भूतत्व (भूत होने का भाव) आदि. समस्त पदों की भी यही स्थिति है. ये सभी युग्म वर्तनी और अर्थ दोनों दृष्टियों से भिन्न-भिन्न शब्द हैं.

(घ) कठिन संधियों से बचने के लिए भी हाइफन का प्रयोग किया जा सकता है, जैसेः द्वि-अक्षर, द्वि-अर्थक आदि.

5. अव्यय

तक, साथ आदि अव्यय सदा पृथक लिखे जाएं, जैसे-आपके साथ, यहां तक. इस नियम को कुछ और उदाहरण देकर स्पष्ट करना आवश्यक है. हिंदी में आह, ओह, अहा, ऐ, ही, तो, सो, भी, न, जब, तब, यहां, वहां, कहां, सदा, क्या, श्री, जी, तक, भर, मात्र, साथ, कि, किंतु, मगर, लेकिन, चाहे, या, अथवा, तथा, यथा, और आदि अनेक प्रकार के भावों का बोध कराने वाले अव्यय हैं. कुछ अव्ययों के आगे विभक्ति-चिह्न भी आते हैं, जैसे-अब से, यहां से, वहां से , सदा से आदि. नियम के अनुसार अव्यय सदा पृथक लिखे जाने चाहिए, जैसे- आप ही के लिए, मुझ तक को, आपके साथ, गज भर कपड़ा, देश भर, रात भर, दिन भर, वह इतना भर दे, मुझे जाने तो दो, काम भी नहीं बना, पचास रुपए मात्र आदि. सम्मानार्थक श्री और जी अव्यय भी पृथक लिखे जाएं जैसे- श्री श्रीराम, कन्हैयालाल जी, महात्मा जी आदि.

समस्त पदों में प्रति, मात्र, यथा आदि अव्यय पृथक नहीं लिखे जाएंगे, जैसे- प्रतिदिन, प्रतिशत, मानवमात्र, निमित्तमात्र, यथासमय, यथोचित. यह सर्वविदित नियम है कि समास होने पर समस्त पद एक माना जाता है. अतः उसे व्यस्त रुप में न लिखकर एक साथ लिखना ही संगत है.

6. श्रुतिमूलक य, व

(क) जहां श्रुतिमूलक य, व का प्रयोग विकल्प से होता है, वहां न किया जाए अर्थात- किए-किये, नई-नयी, हुआ-हुवा आदि में पहले (स्वरात्मक) रुपों का ही प्रयोग किया जाए. यह नियम क्रिया, विशेषण, अव्यय आदि सभी रुपों और स्थितियों में लागू माना जाए, जैसे- दिखाए गए, राम के लिए, पुस्तक लिए हुए नई दिल्ली आदि.

(ख) जहां य श्रुतिमूलक व्याकरणिक परिवर्तन न होकर शब्द का ही मूल तत्व हो वहां वैकल्पिक श्रुतिमूलक स्वरात्मक परिवर्तन की आवश्यकता नहीं है, जैसे- स्थायी, व्ययीभाव, दायित्व. यहां स्थाई, अव्यईभाव, दाइत्व नहीं लिखा जाएगा.

7. अनुस्वार तथा अनुनासिकता-चिह्न (चंद्रबिंदु)

अनुस्वार और अनुनासिकता चिह्न दोनों प्रचलित रहेंगे.

(क) संयुक्त व्यंजन के रुप में जहाँ पंचमाक्षर के बाद सवर्गीय शेष चार वर्णों में से कोई वर्ण हो तो एकरुपता और मुद्रण/लेखन की सुविधा के लिए अनुस्वार का ही प्रयोग करना चाहिए जैसे- गंगा, चंचल, ठंडा, संध्या, संपादक आदि में पंचमाक्षर के बाद उसी वर्ग का वर्ण आगे आता है, अतः पंचमाक्षर के स्थान पर अनुस्वार का प्रयोग होगा (गंङ्गा, चञ्चल, ठण्डा, सन्ध्या, सम्पादक का नहीं). यदि पंचमाक्षर के बाद किसी अन्य वर्ग का की वर्ण आए अथवा वही पंचमाक्षर दुबारा आए तो पंचमाक्षर अनुस्वार के रुप में परिवर्तित नहीं होगा, जैसे- वाङ्मय, अन्य, अन्न, सम्मेलन, सम्मति, चिन्मय, उन्मुख आदि. अतः वांगमय, अंय, अंन, संमेलन, संमति, चिंमय, उंमुख आदि रुप ग्राह्य नहीं हैं.

ख) चंद्रबिंदु के बिना प्रायः अर्थ में भ्रम की गुंजाइश रहती है, जैसे- हंसःहँस, अंगनाःअँगना आदि में. अतएव ऐसे भ्रम को दूर करने के लिए चंद्रबिंदु का प्रयोग अवश्य किया जाना चाहिए. किंतु जहां (विशेषकर शिरोरेखा के ऊपर जुड़ने वाली मात्र के साथ) चंद्रबिंदु के प्रयोग से छपाई आदि में बहुत कठिनाई हो और चंद्रबिंदु के स्थान पर बिंदु (अनुस्वार चिंह्न) का प्रयोग किसी प्रकार भ्रम उत्पन्न करे, वहां चंद्रबिंदु के स्थान पर बिंदु के प्रयोग की छूट दी जा सकती है, जैसे- नहीं, में, मैं. कविता आदि के प्रसंग में छंद की दृष्टि से चंद्रबिंदु का यथास्थान अवश्य प्रयोग किया जाए. इसी प्रकार छोटे बच्चों की प्रवेशिकाओं में जहां चंद्रबिंदु का उच्चारण सिखाना अभीष्ट हो, वहां उसका यथास्थान सर्वत्र प्रयोग किया जाए, जैसे- कहाँ, हँसना, आँगन, सँवरना आदि.

8. विदेशी ध्वनियां

(क) अरबी-फारसी या अंग्रेजी मूलक वे शब्द जो हिंदी के अंग बन चुके हैं और जिनकी विदेशी ध्वनियों का हिंदी ध्वनियों में रुपांतर हो चुका है, हिंदी रुप में ही स्वीकार किए जा सकते हैं, जैसे- कलम, किला, दाग आदि (क़लम, क़िला, दाग़ नहीं), पर जहां उनका शुद्ध विदेशी रुप में प्रयोग अभीष्ट हो अथवा उच्चारणगत भेद बताना आवश्यक हो वहां उनके हिंदी में प्रचलित रुपों में यथास्थान नुक्ते लगाए जाएं जैसे- खानाःखाना, राजःराज, फनःहाइफन. सारांश रुप में यह कहा जा सकता है कि अरबी-फारसी एवं अंग्रेजी की मुख्यतः पांच ध्वनियां (क़, ग़, ख़, ज़ और फ़) हिंदी में आई हैं, जिनमें से दो (क़ और ग़) तो हिंदी उच्चारण (क, ग) में परिवर्तित हो गई हैं, एक (ख़) लगभग हिंदी ख में खपने की प्रक्रिया में है और दो (ज़, फ़) धीरे-धीरे अपना अस्तित्व खोने/बनाए रखने के लिए संघर्षरत हैं.

(ख) अंग्रेजी के जिन शब्दों में अर्धविवृत्त ओ ध्वनि का प्रयोग होता है, उनके शुद्ध रुप का हिंदी में प्रयोग अभीष्ट होने पर आ की मात्र के ऊपर अर्धचंद्र का प्रयोग किया जाए. जहां तक अंग्रेजी और अन्य विदेशी भाषाओं में नए शब्द ग्रहण करने और उनके देवनागरी लिप्यंतरण का संबंध है, अगस्त-सितंबर, 1962 में वैज्ञानिक तथा तकनीकी शब्दावली आयोग द्वारा वैज्ञानिर शब्दावली पर आयोजित भाषाविदों की संगोष्ठी में अंतर्राष्ट्रीय शब्दावली के

देवनागरी लिप्यंतरण के संबंध में सिफिरिश उल्लेखनीय है. उसमें यह कहा गया कि अंग्रेजी शब्दों का देवनागरी लिप्यंतरण इतना क्लिष्ट नहीं होना चाहिए कि उसके लिए वर्तमान देवनागरी वर्णों में अनेक नए संकेत-चिह्न लगाने पड़ें. अंग्रेजी शब्दों का देवनागरी लिप्यंतरण मानक अंग्रेजी उच्चारण के अधिक से अधिक निकट होना चाहिए. उसमें भारतीय शिक्षित समाज में प्रचलित उच्चारण संबंधी थोड़े-बहुत परिवर्तन किए जा सकते हैं. अन्य भाषाओं के शब्दों के संबंध में भी यही लागू होना चाहिए.

(ग) हिंदी में कुछ शब्द ऐसे हैं, जिनके दो-दो रुप बराबर चल रहे हैं. विद्वत्समाज में दोनों रुपों की एक-सी मान्यता है. फिलहाल इनकी एकरुपता आवश्यक नहीं समझी गई है. कुछ उदाहरण हैं- गरदन/गर्दन, गरमी/गर्मी, बरफ/वर्फ, बिलकुल/बिल्कुल, सरदी/सर्दी, कुरसी/कुर्सी, भरती/भर्ती, फुरसर/फुर्सत, बरदाश्त/बर्दाश्त, वापिस/वापस, आखीर/आखिर, बरत्तन/बर्तन, दोबारा/दुबारा, दूक्कान/दुकान, बीमारी/बिमारी आदि

9. हल् चिह्न

संस्कृतमूलक तत्सम शब्दों की वर्तनी में सामान्यतः संस्कृत रुप ही रखा जाए, परंतु जिन शब्दों के प्रयोग में हिंदी में हल् चिह्न लुप्त हो चुका है, उनमें फिर से लगाने का यत्न न किया जाए, जैसे- महान, विद्वान आदि के न में.

10. स्वन-परिवर्तन

संस्कृतमूलक तत्सम शब्दों की वर्तनी को ज्यों-का-त्यों ग्रहण किया जाए. अतः ब्रह्मा को ब्रम्हा, चिह्न को चिन्ह, उऋण को उरिण में बदलना उचित नहीं होगा. इसी प्रकार ग्रहीत, दृष्ठव्य, प्रदर्शिनी, अत्याधिक, अनाधिकार आदि अशुद्ध प्रयोग ग्राह्य नहीं हैं. इनके क्रमशः गृहीत, द्रष्ठव्य, प्रदर्शनी, अत्यधिक, अनधिकार ही लिखना चाहिए. जिन तत्सम शब्दों में तीन व्यंजनों के संयोग की स्थिति में एक द्वित्वमूलक व्यंजन लुप्त हो गया है उसे न लिखने की छूट है, जैसे- अर्ध्द/अर्ध, उज्ज्वल/उज्वल, तत्त्व/तत्व आदि.

11. विसर्ग

संस्कृत के जिन शब्दों में विसर्ग का प्रयोग होता है, वे यदि तत्सम रुप में प्रयुक्त हों तो विसर्ग का प्रयोग अवश्य किया जाए, जैसे- दुःखानुभूति में यदि उस शब्द के तद्भव रुप में विसर्ग का लोप हो चुका हो तो उस रुप में विसर्ग के बिना भी काम चल जाएगा, जैसे-दुख-सुख के साथी.

12. ऐ, औ का प्रयोग

हिंदी में ऐ, औ का प्रयोग दो प्रकार की ध्वनियों को व्यक्त करने के लिए होता है. पहले प्रकार की ध्वनियां है और आदि में हैं तथा दूसरे प्रकार की गवैया, कौवा आदि में. इन दोनों ही प्रकार की ध्वनियों को व्यक्त करने के लिए इन्हीं चिह्नों का प्रयोग किया जाए. गवय्या, कव्वा आदि संशोधनों की आवश्यकता नहीं है.

13. पूर्वकालिक प्रत्यय

पूर्वकालिक प्रत्यय कर को क्रिया से मिलाकर लिखा जाए, जैसे- मिलाकर, खा-पीकर, रो-रोकर आदि.

14. अन्य नियम

(क) शिरोरेखा का प्रयोग प्रचलित रहेगा.

(ख) फुलस्टॉफ को छोड़कर शेष विराम चिह्न वही ग्रहण कर लिए जाएं जो अंग्रेजी में प्रचलित हैं, यथा- (-, ; ? ! :) (विसर्ग के चिह्न को ही कोलन का चिह्न मान लिया जाए)

(ग) पूर्ण विराम के लिए खड़ी पाई (।) का प्रयोग किया जाए.

15. मानक वर्तनी के प्रयोग का उदाहरण

हिंदी एक विकासशील भाषा है. संघ की राजभाषा घोषित हो जाने के बाद यह शनैःशनैः अखिल भारतीय रुप ग्रहण कर रही है. अन्य क्षेत्रीय भाषाओं के संपर्क में आकर, उनसे बहुत कुछ ग्रहण करके और अहिंदी भाषियों द्वारा प्रयुक्त होते-होते उसका यथासमय एक सर्वसम्मत अखिल भारतीय रुप विकसित होगा-ऐसी आशा है.

यद्यपि यह सही है कि विस्तृत भू-खंड में और बहुभाषी समाज के बीच व्यवहृत किसी भी विकासशील भाषा के उच्चारणगत गठन में अनेकरुपता मिलना स्वाभाविक है, उसे व्याकरण के कठोर नियमों में जकड़ा नहीं जा सकता उसके प्रयोगकर्ताओं को किसी ऐसे शब्द, जिसके दो या अधिक सामानांतर रुप प्रचलित हो चुके हों, एक विशेष रुप में प्रयुक्त करने के लिए बाध्य नहीं किया जा सकता, ऐसे शब्दरुपों के बारे में किसी विशेषज्ञ द्वारा निर्णय दे देने के बाद भी उनकी ग्राह्यता-अग्राह्यता के विषय में मतभेद बना ही रहता है फिर भी प्रथमतः कम से कम लेखन, टंकण और मुद्रण के क्षेत्र में तो हिंदी भाषा में एकरुपता और मानकीकरण की तत्काल आवश्यकता है ही. क्या ऐसा करना आज के यंत्राधीन जीवन की अनिवार्यता नहीं है?

भाषाविषयक कठोर नियम बना देने से उनकी स्वीकार्यता तो संदेहास्पद हो ही जाती है, साथ ही भाषा के स्वाभाविक विकास में अवरोध आने का थोड़ा-सा डर रहता है. फलतः भाषा गतिशील, जीवंत और समायानुरुप नहीं रह पाती. हिंदी वर्णमाला के मानकीकरण में और हिंदी वर्तनी की एकरुपता विषयक नियम निर्धारित करते समय इन सब तथ्यों को ध्यान में रखा गया है और इसीलिए जहां तक बन पड़ा है, उदारतापूर्ण नीति अपनाई गई है.

3. हिंदी के संख्यावाचक शब्दों की एकरुपता

हिंदी प्रदेशों में संख्यावाचक शब्दों के उच्चारण और लेखन में प्रायः एकरुपता का अभाव दिखाई देता है. शिक्षा मंत्रलाय द्वारा प्रकाशित ए बेसिक ग्रामर ऑफ मॉडर्न हिंदी में भी इस एकरुपता का अभाव था. अतः निदेशालय ने 5-6 फरवरी, 1980 को आयोजित

भाषाविज्ञानियों की बैठक में इस पर गंभीरता से विचार किया गया. तदनुसार एक से सौ तक सभी संख्यावाचक शब्दों पर विचार करने के बाद इनका जो मानक रुप स्वीकृत हुआ, वह इस प्रकार है:-

एक से सौ तक संख्यावाचक शब्दों का मानक रुप-

एक	ग्यारह	इक्कीस	इकतीस	इकतालीस
दो	बारह	बाइस	बत्तीस	बयालीस
तीन	तेरह	तेईस	तैंतीस	तैंतालीस
चार	चौदह	चौबीस	चौंतीस	चौवालीस
पांच	पंद्रह	पच्चीस	पैंतीस	पैंतालीस
छह	सोलह	छब्बीस	छत्तीस	छियालीस
सात	सत्रह	सत्ताईस	सैंतीस	सैंतालीस
आठ	अठारह	अट्ठाईस	अड़तीस	अड़तालीस
नौ	उन्नीस	उनतीस	उनचालीस	उनचास
दस	बीस	तीस	चालीस	पचास

इक्यावन	इकसठ	इकहत्तर	इक्यासी	इक्यानवे
बावन	बासठ	बहत्तर	बयासी	बानवे
तिरपन	तिरसठ	तिहत्तर	तिरासी	तिरानवे
चौवन	चौंसठ	चौहत्तरौ	चौसारी	चौरानवे
पचपनौ	पैंसठ	पचहत्तर	पचासी	पचानवे
छप्पन	छियासठ	छिहत्तर	छियासी	छियानवे
सतावन	सड़सठ	सतहत्तर	सतासी	सतानवे
अठानवे	अड़सठ	अठहत्तर	अठासी	अठानवे
उनसठ	उनहत्तर	उनासी	नवासी	निन्यानवे
साठ	सत्तर	अस्सी	नब्बे	सौ

सरकारी कामकाज में मूलरुप से हिंदी का प्रयोग करने पर नकद पुरस्कार और प्रोत्साहन

संघ की राजभाषा नीति के अनुसार हिंदी में प्रवीणता प्राप्त तथा हिंदी का कार्यसाधक ज्ञान रखने वाले अधिकारियों /कर्मचारियों के लिए अपने सरकारी कामकाज में हिंदी का अधिक से अधिक प्रयोग करना अनिवार्य है। तथापि, अधिकारियों तथा कर्मचारियों को हिंदी में अपना अधिक से अधिक सरकारी कामकाज करने के लिए प्रोत्साहन स्वरुप राजभाषा विभाग (गृह मंत्रालय) तथा रेल मंत्रालय द्वारा अनेक योजनाएं लागू की गई हैं, जिनका विवरण इस प्रकार है-

1. मूल रुप से हिंदी में सरकारी कामकाज करने के लिए पुरस्कार -

इस पुरस्कार योजना में भाग लेने के लिए क तथा ख क्षेत्रों में स्थित केंद्गीय सरकारी कार्यालयों में कार्य करने वाले कर्मचारियों के लिए वर्ष के दौरान अपने सरकारी काम काज में हिंदी में कम से कम 20000 शब्द तथा ग क्षेत्रों में स्थित केंद्गीय सरकारी कार्यालयों में कार्य करने वाले कर्मचारियों के लिए वर्ष के दौरान अपने सरकारी कामकाज में हिंदी में कम से कम 10000 शब्द लिखना जरुरी है । पुरस्कारों का निर्णय मूल्यांकन समिति द्वारा किया जाता है जिसमें हिंदी में लिखे गए शब्दों की संख्या तथा नोटिंग/ड्राफ्टिंग की गुणवत्ता पर विचार किया जाता है । अधीनस्थ कार्यालयों के कर्मचारियों के लिए स्वतंत्र रुप से दिए जाने वाले पुरस्कार-

(1)	प्रथम पुरस्कार (दो)-	प्रत्येक 5000/- रुपए.
(2)	द्वितीय पुरस्कार (तीन)-	प्रत्येक 3000/- रुपए.
(3)	तृतीय पुरस्कार (पांच)-	प्रत्येक 2000/- रुपए.

2. स्टेनोग्राफरों तथा हिंदी टाइपिस्टों को हिंदी प्रोत्साहन भत्ता -

अंग्रेजी के अलावा हिंदी में टाइप करनेवाले टाइपिस्टों तथा स्टेनोग्राफरों को क्रमश: 240 रुपए तथा 160 रुपए प्रतिमाह की दर से विशेष वेतन दिए जाने का प्रावधान है । किंतु शर्त यह है कि टाइपिस्ट तथा स्टेनोग्राफर प्रतिदिन कम से कम हिंदी में पांच पत्र टाइप करें तथा पांच डिक्टेशन अवश्य लें ।

3. राजभाषा पदक/ प्रशस्ति पत्र -

यह उन वरिष्ठ अधिकारियों का दिया जाता है जो स्वयं अपना अधिक से अधिक काम हिंदी में ही नहीं करते बल्कि अपने अधीन कार्य करने वाले अधिकारियों/कर्मचारियों को भी हिंदी में काम करने के लिए प्रोत्साहित करते हैं। यह पदक माननीय रेल मंत्री जी द्वारा दिया जाता है।

महाप्रबंधक एवं उनसे वरिष्ठ अधिकारियों के लिए कमलापति त्रिपाठी राजभाषा स्वर्ण पदक तथा रुपये 5000/- नकद (केवल एक पुरस्कार)
वरिष्ठ प्रशासनिक ग्रेड एवं उच्चतर ग्रेड के अधिकारियों के लिए रेल मंत्री राजभाषा रजत पदक तथा रुपये 4000/- नकद (कुल 30 पुरस्कार)

5. लाल बहादुर शास्त्री तकनीकी मौलिक पुरस्कार योजना -

रेल तकनीकी विषयों पर हिंदी में मौलिक लेखन को प्रोत्साहित करने के लिए यह पुरस्कार योजना लागू की गई है । नकद पुरस्कारों के लिए पुरस्कारों का मूल्यांकन समिति द्वारा किया जाता है । स्तरीय पुस्तकों को प्रतिवर्ष निम्नलिखित पुरस्कार दिए जाते हैं·

(1) प्रथम पुरस्कार (एक) - 20,000/- रुपये
(2) द्वितीय पुरस्कार (एक) - 10,000/- रुपये
(3) तृतीय पुरस्कार-(एक)- 7,000/- रुपये

5. प्रेमचंद एवं मैथिलीशरण गुप्त पुरस्कार योजना -

रेल कर्मचारियों की साहित्यिक प्रतिभा और अभिरूचि को प्रोत्साहित करने के उद्देश्य से रेल मंत्रालय की हिंदी में कथा-संग्रह /उपन्यास और काव्य पुस्तक लेखन पर क्रमशः प्रेमचंद और मैथिलीशरण गुप्त पुरस्कार योजनाएं लागू हैं । मौजूदा व्यवस्था के अनुसार इन दोनों योजनाओं के अन्तर्गत निम्नानुसार पुरस्कार एवं प्रशस्ति-पत्र प्रदान करने की व्यवस्था की गयी है -

	विधा	पुरस्कार का नाम	पुरस्कारों का विवरण	पुरस्कार की राशि
(क)	कथा/कहानी संग्रह एवं उपन्यास	प्रेमचंद पुरस्कार	1.प्रथम पुरस्कार 2.द्वितीय पुरस्कार 3.तृतीय पुरस्कार	20,000/-रु. 10,000/-रू. 7,000/-रू.
(क)	काव्य/गजल संग्रह	मैथिलीशरण गुप्त पुरस्कार	1.प्रथम पुरस्कार 2.द्वितीय पुरस्कार 3.तृतीय पुरस्कार	20,000/-रु. 10,000/-रू. 7,000/-रू.

6. व्यक्तिगत नकद पुरस्कार योजना -

हिंदी में प्रशंसनीय कार्य करने वाले 134 अधिकारियों/कर्मचारियों को प्रतिवर्ष माननीय मंत्री जी द्वारा अखिल रेल हिंदी सप्ताह के अवसर पर 3000/-रु. की नकद राशि तथा प्रमाण-पत्र प्रदान किए जाते हैं ।

7. राजभाषा सामूहिक पुरस्कार योजना -

हिंदी के प्रयोग-प्रसार में उल्लेखनीय कार्य करने वाले निदेशालय/विभाग को सामूहिक रुप से 12000/-+आचार्य किशोरीदास चल वैजयंती, 8000/-+रेल मंत्री राजभाषा शील्ड तथा 6000/-+रेल मंत्री राजभाषा ट्रॉफी के क्रमशः प्रथम, द्वितीय तथा तृतीय पुरस्कार

प्रदान किए जाते हैं। उक्त पुरस्कारों के अंतर्गत प्रथम पुरस्कार प्राप्त करने वाले विभाग के कुल 06 कर्मचारियों को 2000-2000/-रुपए, द्वितीय पुरस्कार प्राप्त करने वाले विभाग के कुल 05 कर्मचारियों को 1600-1600/-रुपए तथा तृतीय पुरस्कार प्राप्त करने वाले कुल 05 कर्चमारियों को 1200-1200/- रुपए के पुरस्कार प्रदान किए जाते हैं ।

8. रेल मंत्री हिंदी निबंध प्रतियोगिता -

रेल कर्मचारियों को रेल संचालन और प्रबंधन संबंधी विषयों पर निबंध लेखन के लिए प्रोत्साहित करने के उद्देश्य से प्रतिवर्ष रेल मंत्री हिंदी निबंध प्रतियोगिता का आयोजन किया जाता है ।

रेलवे बोर्ड कार्यालय में प्राप्त निबंधों का मूल्यांकन करने के पश्चात पुरस्कृत लेखकों को माननीय मंत्री जी द्वारा रेल सप्ताह के अवसर पर पुरस्कार प्रदान किया जाता है । इस योजना के अंतर्गत राजपत्रित तथा अराजपत्रित श्रेणियों में प्रत्येक के लिए अलग-अलग पुरस्कार निर्धारित हैं-

(1)	प्रथम पुरस्कार (दो)	6,000/- रुपए
(2)	द्वितीय पुरस्कार (दो)	4,000/- रुपए

9. अखिल रेल हिंदी निबंध एवं वाक् प्रतियोगिता -

यह प्रतियोगिता प्रति वर्ष रेलवे बोर्ड द्वारा आयोजित की जाती है । इस योजना के अंतर्गत 5000-5000/- रुपए के प्रथम पुरस्कार 4000-4000/- रुपए के द्वितीय पुरस्कार और 3000-3000/- रुपए के तृतीय पुरस्कार तथा 2000-2000/- रुपए के पांच-पांच सांत्वना पुरस्कार देने के प्रावधान हैं ।

10. अखिल रेल हिंदी टिप्पण एवं प्रारुप लेखन प्रतियोगिता -

यह प्रतियोगिता प्रति वर्ष रेलवे बोर्ड द्वारा आयोजित की जाती है । इस योजना के अंतर्गत 5000-5000/- रुपए के प्रथम पुरस्कार, 4000-4000/- रुपए के द्वितीय पुरस्कार और 3000-3000/- रुपए के तृतीय पुरस्कार तथा 2000-2000/- रुपए के पांच-पांच सांत्वना पुरस्कार देने के प्रावधान हैं ।

11. अधिकारियों को हिंदी में अधिकाधिक डिक्टेशन देने के लिए प्रोत्साहन करने हेतु पुरस्कार योजना -

अधिकारियों को हिंदी में अधिकाधिक डिक्टेशन देने के लिए प्रोत्साहित करने हेतु यह पुरस्कार योजना लागू की गई है । इस योजना के अंतर्गत प्रतिवर्ष प्रत्येक कार्यालय से एक हिंदी भाषी और एक अहिंदी भाषी रेल अधिकारी को 5000-5000/- रुपए के नकद पुरस्कार दिए जाते हैं । हिंदी डिक्टेशन कार्य की न्यूनतम सीमा निर्धारित है अर्थात केवल वे अधिकारी

इस पुरस्कार के पात्र होते हैं जो क तथा ख क्षेत्र में वर्ष में कम से कम 20,000 शब्द हिंदी डिक्टेशन देते हैं। अहिंदी भाषी अधिकारियों के लिए शब्द सीमा 10,000 शब्द प्रतिवर्ष है ।

12. रेल यात्रा वृतांत लिखने पर पुरस्कार योजना

रेलवे बोर्ड ने अखिल स्तर पर रेल यात्रा वृतांत योजना वर्ष 2000-2001 से प्रारंभ की है। इस योजना के अंतर्गत प्रत्येक कैलेंडर वर्ष में पाए गए सर्वोत्तम यात्रा वृतांत के विजेता व्यक्तियों को निम्नानुसार नकद पुरस्कार दिए जाएंगे- **प्रथम** 10,000/- **रु द्वितीय** 8,000 **तथा तृतीय** 6,000/-**रुपए** । इसमें रेलवे के बाहर के लोग भी भाग ले सकते है । यात्रा वृतांत डबल स्पेस में टाइप होना चाहिए । कम से कम 3000 शब्दों में होना चाहिए। शीर्षक, उपशीर्षक एवं लेखक का नाम , पदनाम, आयु, पता, कार्यालय का पता तथा मातृभाषा भी लिखी होनी चाहिए। निबंध दो प्रतियों में भेजना चाहिए ।

13. इंदिरा गांधी राजभाषा पुरस्कार योजना

राजभाषा गृह मंत्रालय द्वारा केंद्ग सरकार के सेवारत/सेवानिवृत कर्मचारियों के लिए हिंदी में मौलिक पुस्तकें लिखने के लिए इंदिरा गांधी राजभाषा पुरस्कार योजना है । इस योजना के अंतर्गत **प्रथम** 1,00000/- **रु**, **द्वितीय** 75,000/-, **तृतीय पुरस्कार** 60,000/-**रुपए तथा सांत्वना पुरस्कार** 30,000/-**रुपए** प्रदान किए जाने का प्रावधान है।

वही पुस्तकें स्वीकार्य होती है जो मौलिक रचना हों। मैनुअल शब्दावलियां, संस्मरण, कविताएं, कहानियां, नाटक, उपन्यास आदि स्वीकार्य नहीं है । पुस्तक किसी शैक्षिक या प्रशिक्षण संस्थान के पाठ्यक्रम में शालिम न हो। प्रत्येक प्रविष्टि के साथ पुस्तक की चार-चार प्रतियां अवश्य भेजी जाएं। प्रविष्टियां प्रत्येक वर्ष के 1 जुलाई तक राजभाषा विभाग, गृह मंत्रालय, खान मार्केट, नई दिल्ली-3 पहुंच जानी चाहिए ।

समूह क आधारिक पाठ्यक्रम के लिए राजभाषा प्रश्नावली

हाँ/नहीं में उत्तर दीजिए-

1.	अनुच्छेद 343 (1) के अनुसार संघ की राजभाषा हिंदी और लिपि देवनागरी है।	हाँ/नहीं
2.	संघ के राजकीय प्रयोजनों के लिए प्रयोग होने वाले अंकों का रुप भारतीय अंकों का अंतर्राष्ट्रीय रुप होगा।	हाँ/नहीं
3.	संघ के राजकीय प्रयोजनों के लिए हिंदी भाषा का उत्तरोत्तर प्रयोग करने की सिफारिश गृह मंत्रालय/राजभाषा आयोग करता है।	हाँ/नहीं
4.	राजभाषा अधिनियम 1963 की धारा 26 जनवरी, 1967 से लागू हुई है।	हाँ/नहीं
5.	क क्षेत्र में गुजरात, महाराष्ट्र, पंजाब राज्य और चंड़ीगढ़ संघ राज्य क्षेत्र आते हैं।	हाँ/नहीं
6.	केंद्रीय सरकार के सभी कार्यालयों द्वारा सभी विज्ञापन हिंदी और अंग्रेजी दोनों भाषाओं में साथ-साथ जारी कराना अनिवार्य है।	हाँ/नहीं
7.	कोई कर्मचारी किसी फाइल पर टिप्पणी या मसौदा हिंदी अथवा अंग्रेजी में लिख सकता है।	हाँ/नहीं
8.	कर्मचारी टिप्पणी हिंदी अथवा अंग्रेजी में लिखे तो उससे अपेक्षा की जाएगी कि व उसका अनुवाद दूसरी भाषा में प्रस्तुत करे।	हाँ/नहीं
9.	राजभाषा नियम 1976 के नियम 6 के अनुसार मैनुअल, संहिताएं और प्रक्रिया संबंधी अन्य साहित्य, लेखन सामग्री आदि द्विभाषी रुप में मुद्रित या प्रकाशित किए जाएं।	हाँ/नहीं
10.	राजभाषा नियम 1976 के नियम 7 के अनुसार कर्मचारी आवेदन, अपील या अभ्यावेदन हिंदी या अंग्रेजी में कर सकता है।	हाँ/नहीं
11.	हिंदी, हिंदी टाइपिंग और हिंदी आशुलिपि की परीक्षाएं पास करने पर कर्मचारी को दी जाने वाली वेतन वृद्धि कितनी अवधि तक देय होगी।	एक/दो/ तीन वर्ष
12.	हिंदी टाइपिंग की परीक्षा करने पर अराजपत्रित कर्मचारियों को वैयक्तिक वेतन देय होगा।	हाँ/नहीं
13.	जो कर्मचारी हिंदी, हिंदी टाइपिंग या हिंदी आशुलिपि की परीक्षाएं एक साथ अथवा एक के बाद एक पास करते हैं, उन्हें प्रत्येक परीक्षा करने पर अलग-अलग वैयक्तिक वेतन देय होगा।	हाँ/नहीं
14.	अराजपत्रित कर्मचारियों को हिंदी आशुलिपि की परीक्षा में पास अंक प्राप्त करने पर वैयक्तिक वेतन दिया जा सकता है।	हाँ/नहीं
15.	जिन कर्मचारियों ने हिंदी शिक्षण योजना के किसी भी केंद्र से कभी भी अल्पावधि के लिए भी प्रशिक्षण लिया हो, उन्हें उस प्रशिक्षण से संबंधित परीक्षा के लिए एक मुश्त पुरस्कार दिया जाएगा।	हाँ/नहीं
16.	क्या अष्टम अनुसूची में अंग्रेजी भाषा भी शामिल है?	हाँ/नहीं

निम्नलिखित कथनों में सही एवं गलत का चिह्न लगाएं-

1. भारतीय अंकों के अंतर्राष्ट्रीय रुप का उपयोग सभी सरकारी प्रयोजनों के लिए किया जा सकता है।
2. अनुच्छेद 351 के अनुसार हिंदी संघ की राजभाषा है।
3. धारा 3(3) के अंतर्गत आरक्षण चार्ट आते हैं।
4. सरकारी विज्ञापन केवल अंग्रेजी में जारी किए जा सकते हैं।
5. धारा 3(3) के अंतर्गत आने वाले दस्तावेजों को द्विभाषी रुप में जारी करवाने के लिए कार्यालय का प्रशासनिक प्रधान व्यक्तिगत रुप से जिम्मेदार होता है।
6. केंद्रीय सरकार के उपक्रमों पर संघ की राजभाषा नीति लागू होती है।
7. अंडमान तथा निकोबार द्वीप समूह ख क्षेत्र के अंतर्गत आता है।
8. हिंदी में हस्ताक्षरित अंग्रेजी में दिए गए आवेदन, अपील तथा अभ्यावेदन के उत्तर हिंदी में दिए जाने चाहिए।
9. क क्षेत्र में स्थित केंद्रीय सरकार के कार्यालयों के बीच हिंदी में पत्राचार किए जाने चाहिए।
10. हिंदी में हस्ताक्षरित अंग्रेजी पत्रों के उत्तर हिंदी में नहीं दिए जा सकते हैं।
11. हिंदी का कार्यसाधक ज्ञान रखने वाला कर्मचारी हिंदी पत्र का अंग्रेजी अनुवाद नहीं मांग सकता है।
12. हिंदी में प्रवीणता प्राप्त कर्मचारियों को विनिर्दिष्ट प्रयोजनों के लिए हिंदी का प्रयोग करने के लिए बाध्य किया जा सकता है ।
13. हिंदीतरभाषी क्षेत्रों में स्थित केंद्रीय सरकार के कार्यालयों में रबड़ की मोहरें तीन भाषाओं में बनवाई जानी चाहिए ।
14. फॉर्म केवल अंग्रेजी में बनवाए जा सकते हैं।
15. केंद्रीय सरकार के अधिसूचित कार्यालयों में टिप्पण तथा आलेखन में केवल हिंदी का प्रयोग किया जाना अपेक्षित है।
16. सभी वर्गों में केंद्रीय सरकारी कर्मचारियों के लिए हिंदी का प्रशिक्षण अनिवार्य है।
17. क क्षेत्र में स्थित केंद्रीय सरकार के कार्यालयों से क तथा ख क्षेत्र में स्थित केंद्रीय सरकार/राज्य सरकार के कार्यालयों को अंग्रेजी में पत्र भेजे जा सकते हैं ।
18. परिपत्र सामान्य आदेश की परिभाषा के अंतर्गत आता है ।
19. क तथा ख क्षेत्र के स्टेशनों के लिए केवल हिंदी में पास/पीटीओ जारी किए जा सकते हैं।
20. मंडल राजभाषा कार्यान्वयन समिति की प्रत्येक महीने बैठक होती है।
21. संघ की राजभाषा नीति के समन्वय का कार्य गृह मंत्रालय का राजभाषा विभाग करता है।
22. हिंदी के प्रगामी प्रयोग के संबंध में राजभाषा विभाग प्रतिवर्ष वार्षिक कार्यक्रम जारी करता है।
23. हिंदीतरभाषी राज्यों में स्थित केंद्रीय सरकार के कार्यालयों को हिंदी में पत्र नहीं भेजे जा सकते।
24. जिन कार्यालयों के 80% या अधिक कर्मचारियों को हिंदी का कार्यसाधक ज्ञान है, उन्हें अधिसूचित किया जा सकता है।

25. सभी कंप्यूटरों का द्विभाषी रुप में कार्य करने योग्य बनाया जाना अनिवार्य है।
26. विभागीय परीक्षाओं के सभी प्रश्न-पत्रों का द्विभाषी रुप में बनवाया जाना अनिवार्य नहीं है।

27. संघ की राजभाषा नीति के कार्यान्वयन के लिए जांच बिंदु स्थापित करना रेलवे बोर्ड का दायित्व है।
28. नाम बैज केवल अंग्रेजी में बनवाए जा सकते हैं।
29. संसदीय राजभाषा समिति की दूसरी उप समिति रेल कार्यालयों का निरीक्षण करती है।

निम्नलिखित वाक्यों को उचित शब्द भरकर पूरा कीजिए-

1. रेल मंत्रालय तथा इसके संबद्ध कार्यालयों में हिंदी के पुनरीक्षण का कार्य ---------- उप समति की करती है।
2. राजभाषा नीति के अनुपालन के लिए राजभाषा नियम ,1976 के अनुसार देश भर में --------- तथा ------- क्षेत्र बनाए गए हैं।
3. दिल्ली और आगरा ---------- क्षेत्र में स्थित हैं।
4. मुंबई तथा सूरत ---------- क्षेत्र में स्थित हैं।
5. कानपुर तथा सूरत ---------- क्षेत्र में स्थित हैं।
6. अंडमान निकोबार द्वीप समूह संघ राज्य ---------- क्षेत्र में स्थित हैं।
7. वार्षिक कार्यक्रम के कार्यान्वयन में सहायता देने के लिए तथा तत्संबंधी समीक्षा करने के लिए राजभाषा विभाग के क्षेत्रीय कार्यान्वयन कार्यालय- दिल्ली, ----------, ----------, ----------, ---------- तथा भोपाल में खोले गए हैं।
8. आलोच्य वर्ष के वार्षिक कार्यक्रम के अनुसार क क्षेत्र में स्थित केंद्रीय सरकार के मंत्रालयों/विभागों/कार्यालयों आदि में कार्यरत अधिकारी, कर्मचारी हिंदी में -------- % टिप्पणी लिखेंगे।
9. आलोच्य वर्ष के वार्षिक कार्यक्रम के अनुसार ख क्षेत्र में स्थित केंद्रीय सरकार के मंत्रालयों/विभागों/कार्यालयों आदि में कार्यरत अधिकारी, कर्मचारी हिंदी में -------- % टिप्पणी लिखेंगे।
10. आलोच्य वर्ष के वार्षिक कार्यक्रम के अनुसार ग क्षेत्र में स्थित केंद्रीय सरकार के मंत्रालयों/विभागों/कार्यालयों आदि में कार्यरत अधिकारी, कर्मचारी हिंदी में -------- % टिप्पणी लिखेंगे।
11. क क्षेत्र में स्थित केंद्रीय सरकार के कार्यालयों से ख क्षेत्र में स्थित केंद्रीय सरकार के कार्यालयों को भेजे जाने वाले पत्राचार का प्रतिशत ------ है।
12. क क्षेत्र में स्थित केंद्रीय सरकार के कार्यालयों से ग क्षेत्र में स्थित केंद्रीय सरकार के कार्यालयों को भेजे जाने वाले पत्राचार का प्रतिशत ------ है।
13. राजभाषा नियम 1976 का अधिकार क्षेत्र ---------- राज्य के सिवाए संपूर्ण भारत पर है।

14. कर्मचारी द्वारा आवेदन या अपील अंग्रेजी में लिखी गई हो, किंतु उस पर हिंदी में हस्ताक्षर किए गए हों तब उसका उत्तर ---------- में दिया जाएगा।
15. राजभाषा नियम 1976 के नियम 8 (2) के अनुसार हिंदी का कार्यसाधक ज्ञान रखने वाला कर्मचारी हिंदी में किसी दस्तावेज की अंग्रेजी में मांग तभी कर सकता है, जब वह दस्तावेज ---------- या ---------- प्रकृति का हो।
16. राजभाषा नियमों तथा अधिनियमों के उपबंधों का समुचित रुप से अनुपालन सुनिश्चित करने के लिए कार्यालय का ---------- उत्तरदायी होता है।
17. क्षेत्रीय राजभाषा कार्यान्वयन समिति के अध्यक्ष ---------- और उपाध्यक्ष------- होते हैं।
18. क्षेत्रीय राजभाषा कार्यान्वयन समिति के सदस्य सचिव --------- होते हैं।
19. रेल राजभाषा सलाहकार समिति के अध्यक्ष ------- होते हैं ।
20. मंडल राजभाषा कार्यान्वयन समिति के अध्यक्ष ---------- होते हैं ।
21. अंग्रेजी आशुलिपिक को निर्धारित मात्रा में हिंदी में कार्य करने पर ----------रूपये का प्रोत्साहन भत्ता देय है।
22. अधिकारियों को हिंदी में अधिकाधिक डिक्टेशन देने के लिए प्रोत्साहित करने हेतु पुरस्कार योजना के तहत एक हिंदी भाषी तथा एक अहिंदी भाषी रेल अधिकारी को दिए जाने वाले पुरस्कार की राशि रूपये ----------है ।
23. हिंदी में प्रशंसनीय कार्य करने के लिए रेलवे बोर्ड की व्यक्तिगत नकद पुरस्कार योजना में पुरस्कार की राशि रूपये ----------है ।
24 संसदीय राजभाषा समिति में कुल---------- सदस्य होते हैं ।
25. रेल मंत्री हिंदी निबंध प्रतियोगिता में निबंध ---------- विषय पर लिखा जाता है ।
26. मंडलों पर हिंदी कार्य का प्रशासनिक नियंत्रण देखने वाले अधिकारी को ---------- पदनाम से जाना जाता है ।
27. संविधान की अष्टमी अनुसूची में कुल ---------भाषाएं हैं ।
28. राजभाषा विभाग,गृहमंत्रालय द्वारा जारी वार्षिक कार्यक्रम की अवधि ---------- होती है ।

संक्षिप्त टिपण्णियां लिखिए-

1. क) रेल सप्ताह. ख) धारा 3(3)
2. हिंदी सप्ताह कब और क्यों मनाया जाता है?
3. भारतीय रेल पर राजभाषा संगठन के स्वरुप का उल्लेख कीजिए।
4. क, ख तथा ग क्षेत्रों के लिए निर्धारित जांच बिंदुओं का उल्लेख कीजए।
5. राजभाषा नियमों के अनुपालन की जिम्मेदारी किसकी होती है?
6. कर्मचारी से क्या अभिप्रेत होता है?
7. अधिसूचित कार्यालय से क्या अभिप्रेत है?

8. हिंदी का कार्यसाधक ज्ञान से क्या अभिप्रेत है?
9. हिंदी में प्रवीणता से क्या अभिप्रेत है?
10. नियम 8 (4) से आप क्या समझते हैं?
11. अराजपत्रित हिंदी पदों के नाम लिखिए?
12. सामान्य आदेश की परिभाषा दीजिए तथा इसके अंतर्गत आने वाले किन्हीं 6 दस्तावेजों के नाम बताइए?
13. मूल पत्राचार से क्या अभिप्राय है? संक्षेप में बताइए।
14. अनुच्छेद 351 के अनुसार राजभाषा हिंदी का विकास किसप्रकार किया जाए?
15. संसदीय राजभाषा समिति से आप क्या समझते हैं।
16. अंक अक्षरों में लिखें।
17. विभिन्न राजभाषा समितियों का वर्णन करें।
18. राजभाषा की विभिन्न प्रोत्साहन पुरस्कार योजनाएं।
19. अर्धशासकीय पत्र के मुख्य बिंदु।

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CIVIL ENGINEERING

ROLE OF CIVIL ENGG. DEPTT. ON IR

- **TRACK : Permanent Way**
- **BRIDGES**
- **TUNNELS**
- **LEVEL XING/ROB/RUB**
- **CIVIL WORKS**
  - BUILDINGS & STRUCTURES
  - RAILWAY COLONIES
  - WATER SUPPLY
  - ROADS & Other Civic infrastructure
- **LAND & AMENITIES**
- **PROJECTS/ WORKS**

Infrastructure In Indian Railways (Civil Engineering)

GAUGES ON WORLD RAILWAYS

TYPE OF GAUGE	GAUGE IN mm	%OF TOTAL LENGTH	NAMES OF COUNTRIES
BROAD GAUGE (5'6")	1676	6	INDIA, PAKISTAN, SRI LANKA, BRAZIL
BROAD GAUGE (5')	1524	9	RUSSIA, FINLAND
STANDARD GAUGE (4'8.5")	1435	62	ENGLAND,USA, CANADA, TURKEY, PERSIA & CHINA
CAPE GAUGE (3'6")	1067	8	AFRICA, AUSTRALIA, NEWZEALAND, JAPAN
METRE GAUGE (3'3.5")	1000	9	INDIA, SWITZERLAND, ARGENTINA, FRANCE
VARIOUS OTHER GAUGES	VARIOUS GAUGES	6	INDIA-NARROW GAUGE (762mm & 610mm)-(2'6" & 2')
TOTAL		**100**	

TRACKS ON INDIAN RAILWAYS (As on 31/03/15)

GAUGE	ROUTE KM	RUNNING TKM	TOTAL TKM
BROAD GAUGE (1676 mm)	58825 (20633)	82798	108744
METRE GAUGE (1000mm)	4908	5708	6688
NARROW GAUGE (762mm and 610mm)	2297	2297	2564
TOTAL	**66030**	**90803**	**117996**

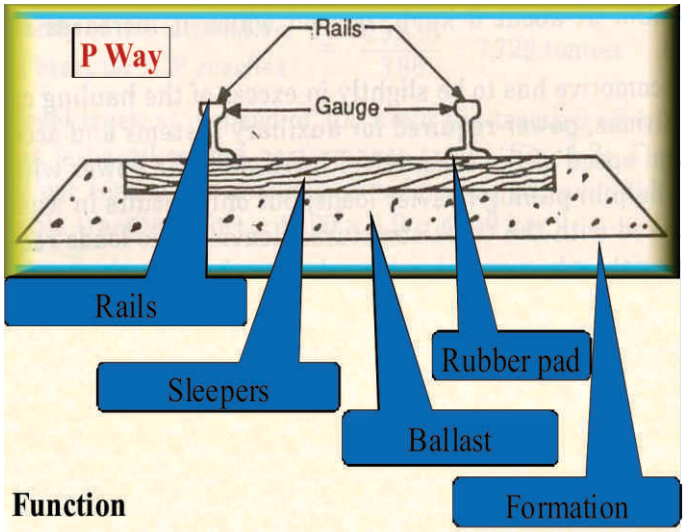
Route KM indicates length of route from one point to another point.
Running track KM- add for double line etc.
Total track KM include length of non-Running lines & yards etc.

CLASSIFICATION OF LINES ON INDIAN RAILWAYS

✓ FOR THE PURPOSE OF LAYING DOWN TRACK STANDARDS

GROUP	SPEED POTENTIAL (KMPH)
A	160
B	130
C	Suburban
D	110 and GMT<20
D 'Spl'	110 and GMT>20
E	<110 and GMT<5
E 'Spl'	<110 and GMT>5

PRINCIPAL FEATURES OF PERMANENT-WAY



Function

•Support & guide vehicles running on it

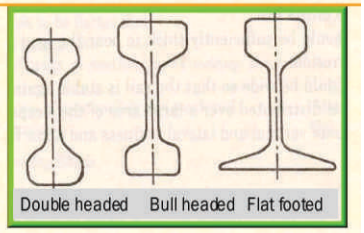
DEVELOPMENT OF RAILS

DEVELOPMENT OF RAILS



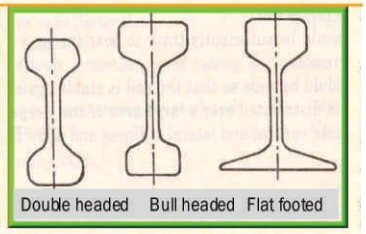
DEVELOPMENT OF RAILS





DEVELOPMENT OF RAILS







DEVELOPMENT OF FIXTURES

DEVELOPMENT OF FIXTURES

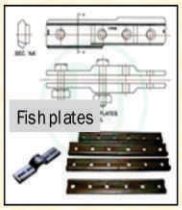


Screws & Spikes

DEVELOPMENT OF FIXTURES



Screws & Spikes



Fish plates

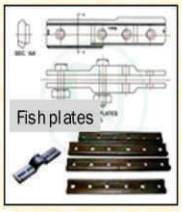
DEVELOPMENT OF FIXTURES



Screws & Spikes



GRP

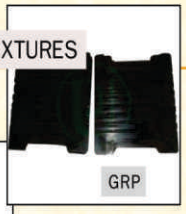


Fish plates

DEVELOPMENT OF FIXTURES



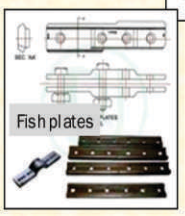
Screws & Spikes



GRP



Liners



Fish plates

Welding of Rails

Welding of Rails



AT

Welding of Rails





Welding of Rails

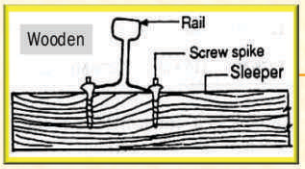




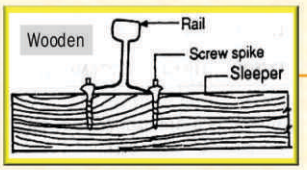


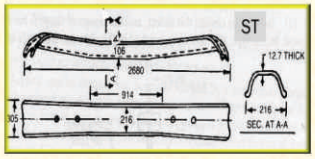
Evolution of Sleepers

Evolution of Sleepers

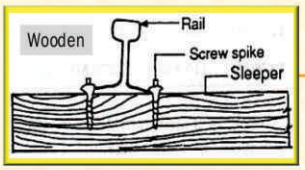


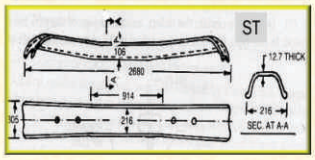
Evolution of Sleepers

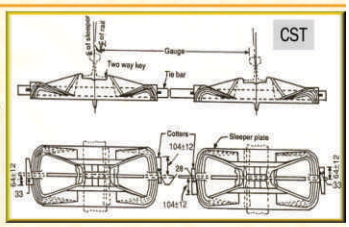




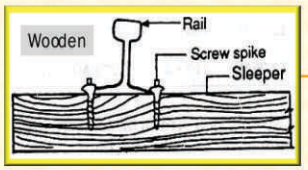
Evolution of Sleepers

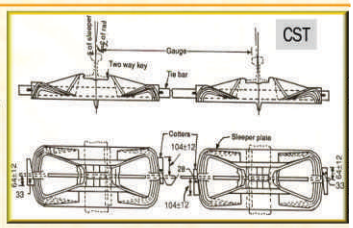


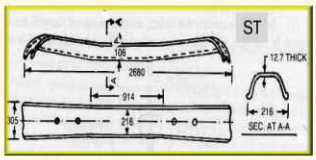




Evolution of Sleepers









DEVELOPMENT OF SEJ's FOR LWR TRACK

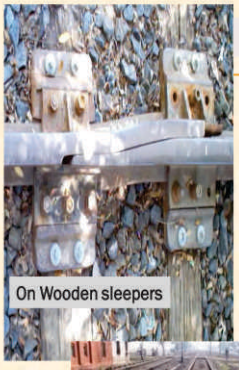
DEVELOPMENT OF SEJ's FOR LWR TRACK



DEVELOPMENT OF SEJ's FOR LWR TRACK

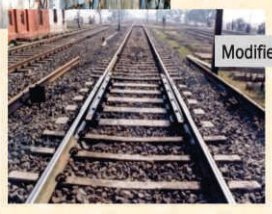






DEVELOPMENT OF SEJ's FOR LWR TRACK







EVOLUTION OF TRACKS

EVOLUTION OF TRACKS

Single rails & Wooden sleepers with rigid fixtures



EVOLUTION OF TRACKS

Single rails & Wooden sleepers with rigid fixtures



SWR & Wooden sleepers with rigid fixtures



EVOLUTION OF TRACKS

Single rails & Wooden sleepers with rigid fixtures



SWR & Wooden sleepers with rigid fixtures



LWR & Wooden sleepers with elastic fixtures



EVOLUTION OF TRACKS

Single rails & Wooden sleepers with rigid fixtures



SWR & Wooden sleepers with rigid fixtures



LWR & Wooden sleepers with elastic fixtures



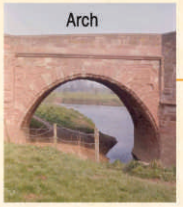
LWR & PSC sleepers with elastic fixtures

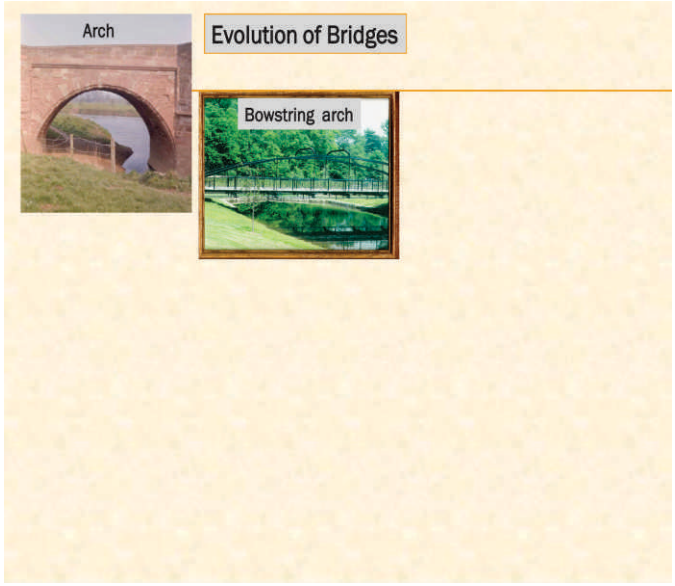


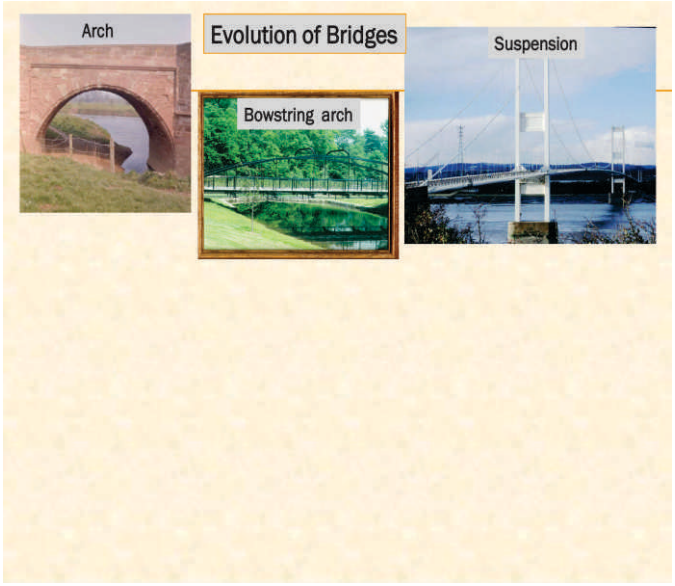
Evolution of Bridges

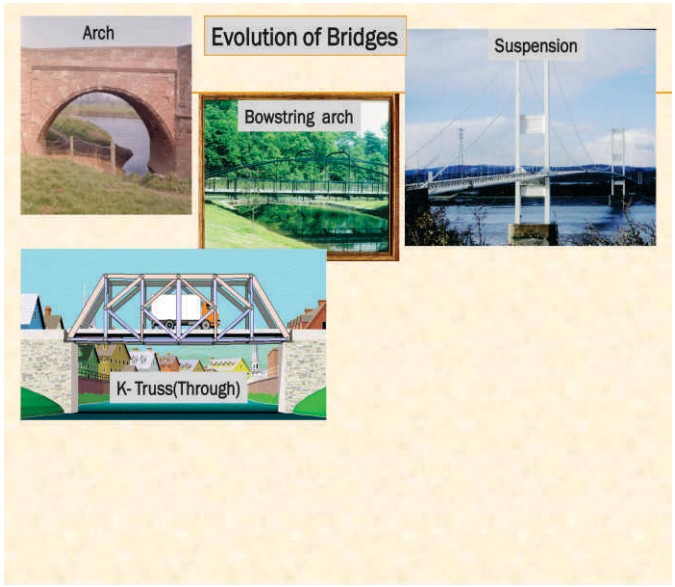
Evolution of Bridges

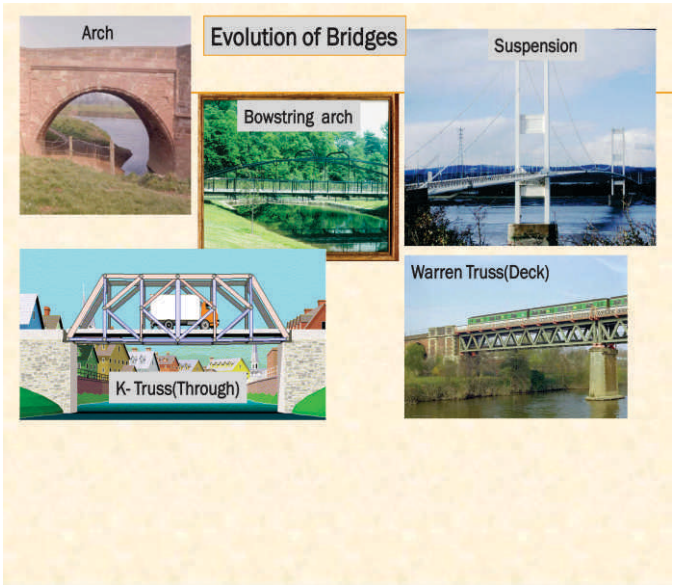
Arch

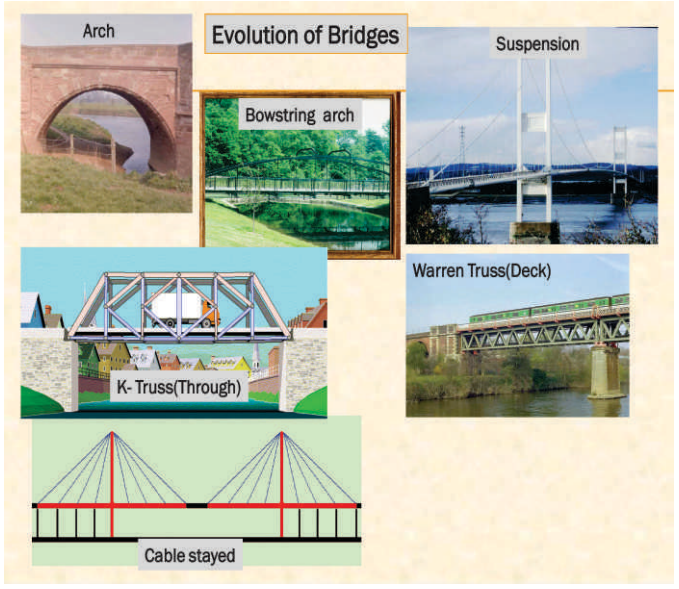


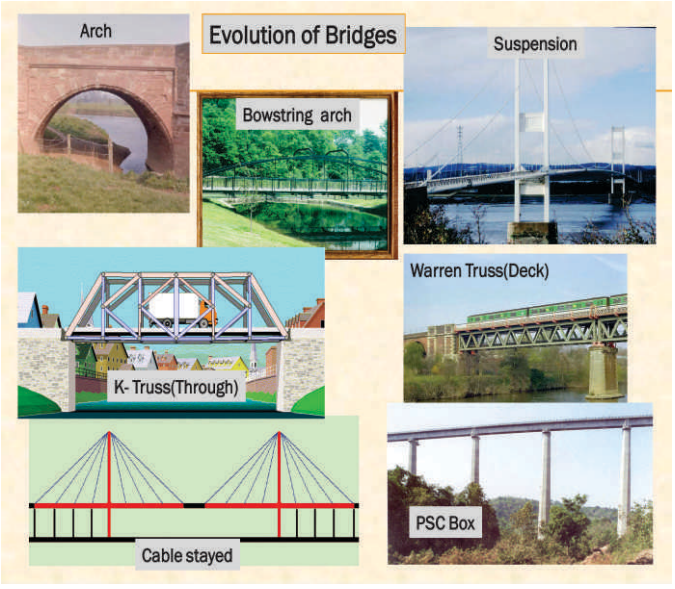

Arch
Evolution of Bridges
Bowstring arch


Arch
Evolution of Bridges
Bowstring arch
Suspension


Arch
Evolution of Bridges
Bowstring arch
Suspension
K- Truss(Through)


Arch
Evolution of Bridges
Bowstring arch
Suspension
K- Truss(Through)
Warren Truss(Deck)


Arch
Evolution of Bridges
Bowstring arch
Suspension
K- Truss(Through)
Warren Truss(Deck)
Cable stayed


Arch
Evolution of Bridges
Bowstring arch
Suspension
K- Truss(Through)
Warren Truss(Deck)
Cable stayed
PSC Box

Special Purpose Bridges

Special Purpose Bridges



Special Purpose Bridges

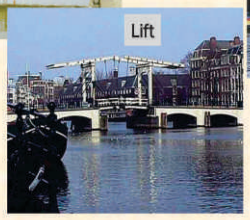




Special Purpose Bridges







Special Purpose Bridges













PAMBAN BRIDGE



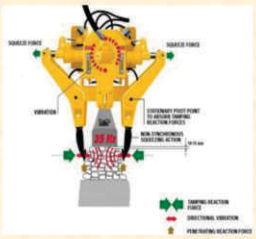


Mechanised Maintenance



Tie Tamping Machine



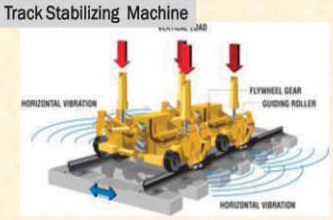


Mechanised Maintenance



Track Stabilizing Machine





Mechanised Maintenance



Ballast Cleaning Machine



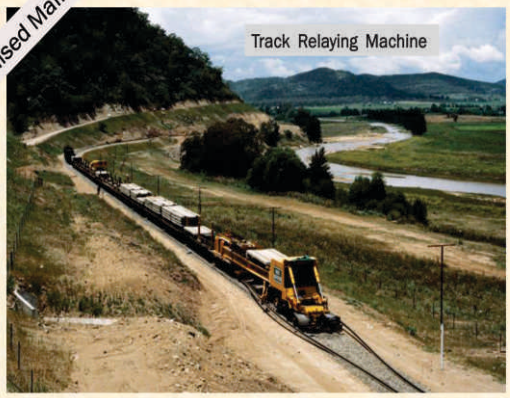


Mechanised Maintenance



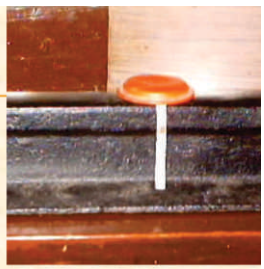
Turnout laying Machine

Mechanised Maintenance



Track Relaying Machine



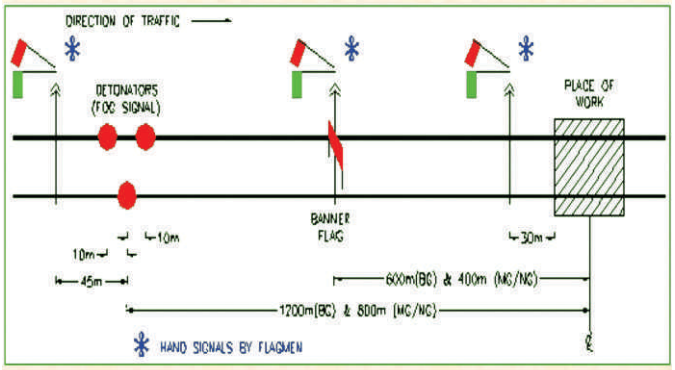




DETONATORS



PROTECTION OF LINE IN CASE OF WORKS OF SHORT DURATION AT STOP DEAD RESTRICTION



DOULE LINE SECTION

PROTECTION OF LINE IN CASE OF WORKS OF SHORT DURATION AT REDUCED SPEED

SAME AS IN CASE OF STOP DEAD RESTRICTION EXCEPT TAT DETONATORS ARE NOT PLACED AND FLAGMAN SALL LIFT TE FLAG ONL WEN DRIVER AS REDUCED TE SPEED TRAIN WILL BE AND SIGNALLED FORWARD

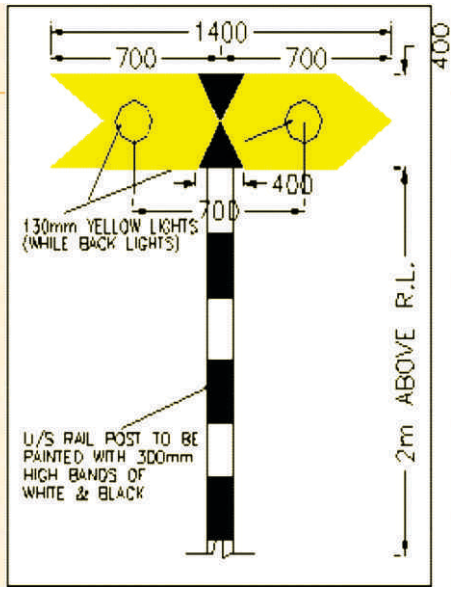
WORKS OF LONG DURATION

- Line blocked by P-Way Inspector in consultation with operating department
- Caution order issued by Station Master
- Temporary Engineering Signals provided at site by PWI

CAUTION INDICATOR

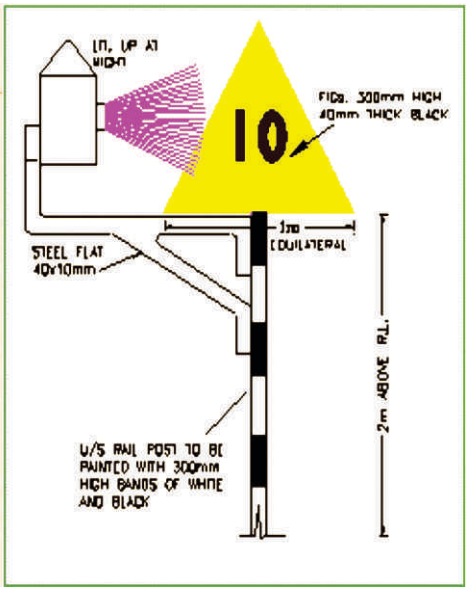
Line under repairs ahead

Reduce speed & be prepared for a speed restriction or a stop board ahead



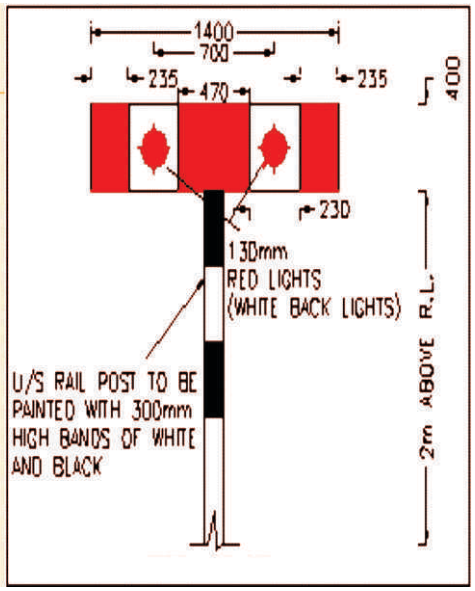
SPEED INDICATOR

Speed to be reduced at once as indicated



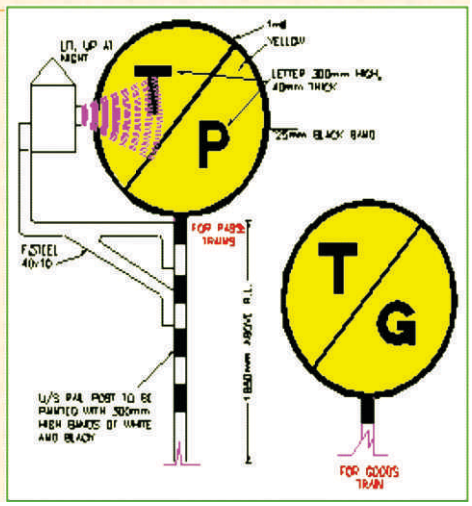
STOP INDICATOR

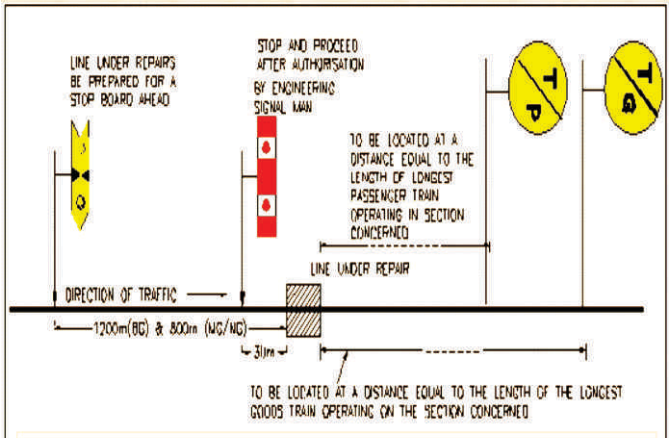
Stop at once and do not proceed until authorized



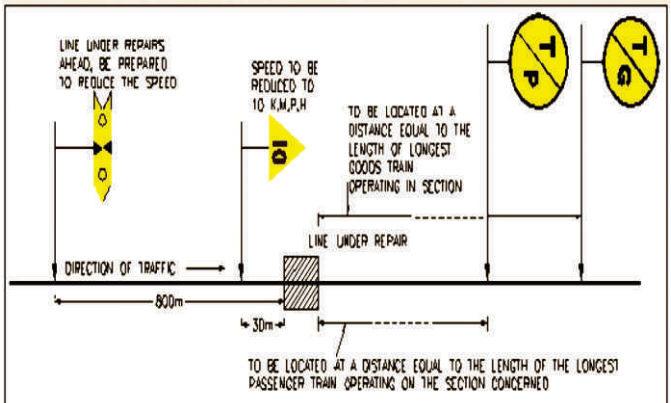
TERMINATION BOARD

Resume normal speed





PROTECTION OF LINE IN CASE OF WORKS OF LONG DURATION AT STOP DEAD RESTRICTION



PROTECTION OF LINE IN CASE OF WORKS OF LONG DURATION AT REDUCED SPEED

THANKS

MECHANICAL ENGINEERING

Rolling Stock - Overview

ROLLING STOCK & DM		
COACHES	:	59,765
WAGONS	:	3,00,000
EMU	:	7,200
MEMU	:	2,415
DEMU	:	2,143
CRANES (140T)	:	76

ACTIVITY CENTRES		
PUs	:	5
WORKSHOPS	:	46
ROH DEPOTS	:	47
COACHING	:	180
FREIGHT EXMn	:	119

1

FOCUS AREAS Coaching

- DPRS
- Augmented Production Programme- ICF(3156)/MCF(1232)/RCF(1374) in 18-19
- Jerks in coaches
- Automatic Coach Washing Plants
- Vacuum Toilets
- Thermostat
- NMG coach production
- Quick watering at stations
- Centre of Excellence in workshops.
- Production plan and dispatch as rake sets.
- Underslung DA power car.

FOCUS AREAS Freight

- BFNS finished steel coil wagons
- BTAP upgraded-flyash and cement
- Parcel wagon
- Upgraded BCACBM for trucks and two wheelers capability.
- RORO wagon
- Double stack dwarf container
- BOXNS 25t wagon for DFC

Factories

- Latur-Marathwada area-Railway Coach Factory mainly to manufacture metro coaches.
- Sonipat-Rail Coach Refurbishing factory initial target 250 coaches per annum.
- Rail ancillary park mainly to supply requirement of MCF near Fatehgunj district in 400 acres land.
- Wagon repair workshop at Badnera (NGP-BSL line)
- Wagon periodic overhauling workshop at Vishakapatnam
- Coach midlife rehabilitation centre at Jhansi workshop.

Trains-

- Train 18
- AC Locals
- MEMU-mission Raftar; Golden quadrilateral
- Utkrisht trains
- Smart coaches
- Vistadome coaches

Swarn/Utkrisht-

- Project Swarn-launched in June'17.Covered all Rajdhanis and Shatabdis to Gold Standards.
- The description of the Gold standards and the mechanism of evaluation, for each of the10 dimensions approved by Board (MRS, MT, FC, CRB). An amount for expenditure up to Rs. 50 lakhs per rake .
- Internal coach cleaning –Interiors/Toilets/Security/Linen-on run OBHS, manpower training, feedback mechanism, aesthetics (vinyl wrappings ,paintings, lighting (LED,toilet indication),upholstery, internal furnishings, exhaust fans, odour control, escort, CCTV.
- On similar lines to upgrade Mail and Express trains Project Utkrisht has been launched –initially 66 pairs of trains-140 rakes;RSP sanction of Rs.60 lakhs per rake.

1 Utkrisht of CR-04/11/18

- 12125/26-Pragati express-60 lakhs per rake. First train to be upgraded in a open line depot.

Project Utkrisht

Utkrisht

Up-gradation of

12125/12126

Pragati Express

Pune to CSMT

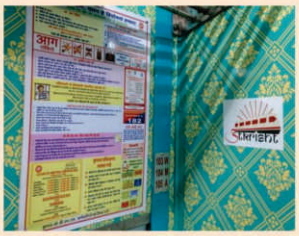


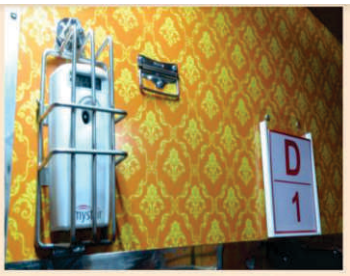
Anti-graffiti PU Painting in unique Utkrisht scheme



Anti-graffiti vinyl wrapping

- Single Information Poster
- Braille Stickers

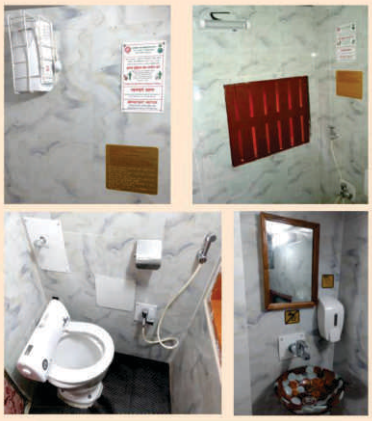




- Automatic Hygiene and Odour Control System
- Coach Indication Board

- SS Luggage Racks
- Sceneries
- Disposable Head Rest Covers
- Roller Blind Curtains
- Acrylic Mobile Holders





- Indigenous-Design Ventilation Window
- Anti-Skid Tiling and Scrap Mats
- Automatic Toilet Seat Cover Dispensers
- Durable Concealed Pipelines and Health Faucets
- Two-way and Long Body Bib Cocks (with Aerators)
- Fibre Wash Basins and Wooden Frame Looking Glass
- Automatic Odour and Hygiene Control System
- Instructions for use of Bio-toilets
- Bacteria Proof Liquid Soap Dispensers

A BLDC (Brush less DC fan) fan takes in AC voltage and internally converts it into DC.
Latest and most efficient. Economically more efficient; does not heat up as compared to induction motor fans; higher life expectancy.



- LED fittings
- BLDC Fans
- Passenger Information System

The 'Utkrisht' Logo - symbolizing progress and energy in Coaching through the upgradaton of rakes under Project Utkrisht

Utkrisht

Quick watering

Quick watering of coaches within 5 to 10 minutes is desired to avoid inadequate/no-watering, improve punctuality and reduce stoppage time at stations; as already done in a few locations(details enclosed.). Sanction of Rs.2 crores per station under Plan Head 53 of GMs Power may kindly be communicated to the

Watering facilities at Erode and Vishakhapatnam stations
For quick watering system

- CAMTECH design arrangement with Booster pumps.
- Overhead tank of suitable capacity.
- Pump set of 40HP per platform.
- Discharge of pump (one) = 250m^3/hr. Number of pumps as per requirement.
- Automatic operation of pumps. Depending upon the water discharge, subsequent pumps start automatically.
- Provision of solenoid operated Butterfly valves at every distribution branch. (Platforms Main pipe line).
- Watering time for a rake of 24 coach is about 5 to 10 minutes approx.
- Suitable 40 HP star delta starter with auto manual selection mode. Same starter works on VFD (Variable Flow Device) and command to VFD by PLC.
- Remote operation of pumps and valves. SCADA system for monitoring.
- Sufficient Power backup.
- Controlled through Programmable Logic Controllers for power saving and proper utilization of pump sets.

Smart Coach

- Indian Railways rolls out its first "SMART" coach; 100 more to be manufactured – it's a big leap!



Smart Coach

- The SMART coach offers Indian Railways a single window platform to monitor several key indicators of the train's health – from coach diagnosis to security and surveillance system
- Intelligent sensor-based system.
- With the use of SMART coach, Indian Railways aims to move to predictive maintenance instead of preventive maintenance.
- The SMART coach has been manufactured by the Modern Coach Factory, Raebareli as part of the Make in India initiative.
- SMART coach has been built on the LHB-platform and comes equipped with state-of-the-art sensors and a centralised computer that in turn monitors all the sensors.
- 100 more such coaches will be rolled out

Smart Coach

- SMART coach boasts of a Wi-fi hot spot information system. This means passengers can connect their devices – laptop, tables and mobile phones – to WiFi .
- It has a sensor on the axle box to predict wheel defects, defects on the bearings, and hard spot (defects) on the track. Would help in planning preventive maintenance and on line failures.
- SMART coach has a Passenger Information and Coach Computing Unit (PICCU) a CPU that is similar to an industrial grade computer.

PICCU will monitor following 4 important areas of coach maintenance and passenger interface-

Smart Coach

(a) Security and surveillance system: CCTV system will improve the security standards of the train and also help in keeping a check on the behavior of the railway staff. The footage would help track untoward incidents.

(b) GPS-based passenger announcement and passenger information system and the digital destination board.

(c)Coach diagnostic system: The SMART coach system can monitor the brake system and detect any default in it. This in turn can be communicated to the maintenance staff.

(d) Interface with other sub-systems like air conditioning, fire detection and alarm system, disc brake system and water level indicator.

The water level indicator would ensure that maintenance staff get advanced information through SMS about the need to refill water.

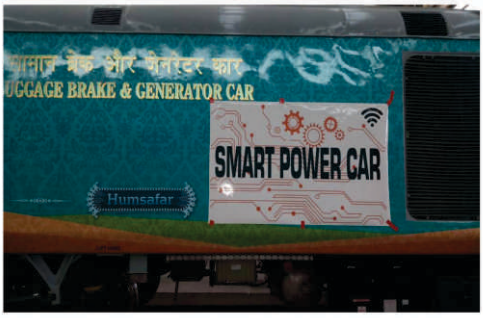
The AC temperature will be monitored on the go from a remote location and any adjustment can be made for the comfort of the passengers.

Overall maintenance cost will come down since the sensor based system will provide advance notification about impending faults. cost of the system – approximately Rs 12-14 lakh

Smart Coach-sensor on axle box



Smart Power Car



Kirloskar make KRM i.e. Kirloskar remote power monitoring system which monitors health of your DG set.(Remlott)

Buddhist circuit special train-Bodh gaya,Budh Vihar,Sarnath,Kushi Nagar-LHB-IRCTC will manage; digital lockers; venetian windows, decorative lighting, CCTV cameras, hand free taps and soap dispensers, anti graffiti coating and bio vac toilets, water capacity increased to 2740 liters from 1370 litres.;4- 1st AC/2 -AC2/1 -AC 3T for staff/two dining cars/one pantry/ two power cars.-December'18.



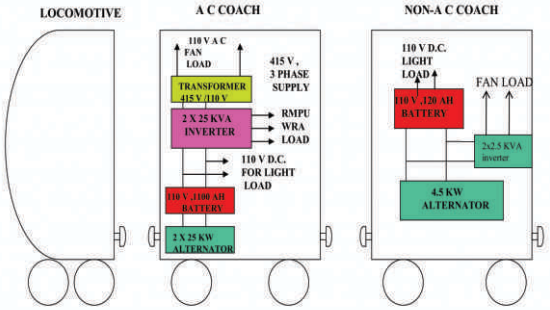
Kumbh Mela



VARIOUS POWER SUPPLY SYSTEM ON COACHES

- Self generation system (SG)
- End on generation (EOG)
- Head on generation (HOG)

SELF GENERATION SYSTEM



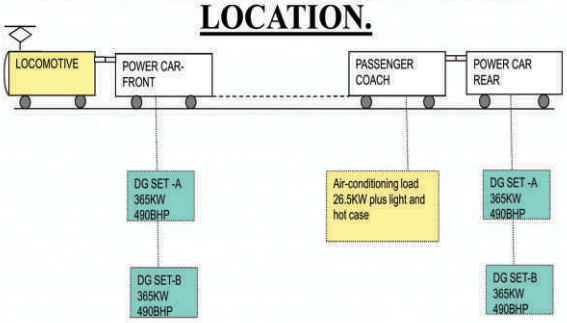
MERITS OF SELF GENERATION SYSTEM

- Independent of the rake formation
- Independent of mode of traction
- No additional source of power is required
- Can be designed to specific need of the coach

DEMERITS OF SG SYSTEM

- Limited capacity of generation, at present 2 x 25 kW per coach.
- Power is not generated during standing/slow speed, hence bulky batteries and Inverters (in case of AC coaches) are required.
- High maintenance requirements and poor reliability due to additional equipment/sub systems.
- Very poor efficiency (53% only)

EOGSYSTEM COMPONENTS AND LOCATION.



MERITS OF END ON GENERATION

- Power in bulk is available at ends of the rake, at present 2 x 336 kW
- No need of bulky batteries and 25 kVA inverters
- High reliability as 4 DA sets are available per rake
- Independent of traction system
- Power transmission at 750 V with reduced transmission loss.
- Reduced net dead weight as compared to SG system

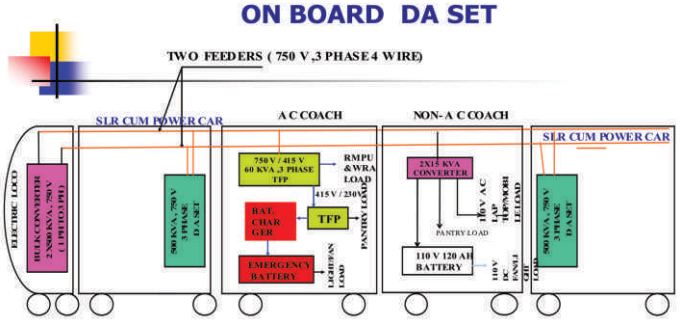
DEMERITS OF EOG SYSTEM

- Higher cost of energy due to high fuel cost
- Noise/ Smoke pollution and non environment friendly
- Loss in passenger earning capacity due to presence of two power cars per rake
- Presently, can feed load up to 20/21 AC coaches
- Requires intensive maintenance of DA sets

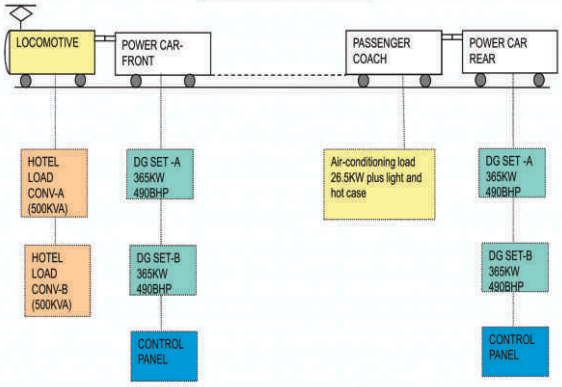
Concept of HOG (Head On Generation)

The name HOG, itself implies that the Electrical energy required for non-traction use is derived from the Driving Head (Electric Traction Loco), which draws the Electric Supply from the Over-head Traction Wires for Traction purpose. This High tension Over-Head Traction supply of 25000 VAC (single phase) is tapped and fed to the converters which steps down and converts the electric supply to 750 V (3 Ph) AC supply, which is then fed to all the coaches in the entire train for non traction use.

HOG SCHEME WITH CONVERTER AND ONE ON BOARD DA SET



HOG SYSTEM COMPONENTS AND LOCATION.



MERITS OF HEAD ON GENERATION

- GLOBALLY HOG SYSTEM IS AN ESTABLISHED SYSTEM OF POWER SUPPLY SYSTEM IN TRAIN
- Pollution free and cheaper power from OHE as compared to EOG system and SG system
- Highest reliability as compared to SG and EOG system due to reduced number of equipment/sub systems
- No additional irritating noise or smoke
- Low maintenance requirement
- Reduced dead weight as compared to SG

MERITS OF HEAD ON GENERATIONS

- Suitable for diesel as well as electric traction
- Elimination of under-slung equipment's like alternator & battery so enhanced safety
- HOG type AC coaches shall be interchangeable with EOG type trains
- Charging of battery from alternator requires at least 28 km/h train speed. Operation of SGAC coach is thus very difficult in slow moving train. With HOG system AC coach operation in slow moving train is possible
- High efficiency (93%) and low running cost.

Automatic Coach washing plant approximate cost-Rs.90 lacs

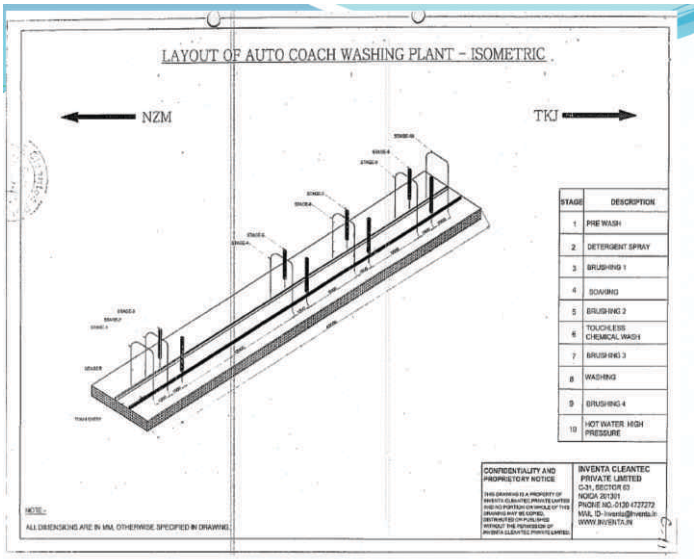
NDLS

निर्माणकर्ता का नाम और पता Manufacturer's Name and Address	M/s. Inventa Cleantec Pvt. Ltd., D-176 Flatted Factories Complex, Okhla, New Delhi-110020. Fax : 011-66173877

Cycle time from Entry to exit

Cycle time is calculated at an average speed of 5 Km/hr
Complete rake of 24 coaches will take approx. 7.8 minute

Cycle	Distance (meters)	Time (seconds)
Pre wash – detergent spray	1.5	18.47
Detergent spray – 1st brushing	1.5	18.47
1st brushing – soaking spray	18	221.68
Soaking spray- 2nd brushing	1.5	18.47
2nd brushing-touchless chemical	5	61.57
Touchless chemical- 3rd brushing	1.5	18.47
3rd Brushing- washing	5.5	67.73
Washing- 4th brushing	1.5	18.47
4th brushing – final hot water high pressure wash	2	24.63





BPC and train list to be generated through ICMS.CMM to be parent structure and data to be correctly filled of all coaches.

CMM



FMM-ROAMs-yard application

Rolling Stock Asset Management-Freight Management System

- FMM is an ERP based application taking up activities in yards of TXR for following 9 functionalities:

(i) Rake creation and arrival
(ii) Rake build/formation
(iii) Creation and receipt of offering memo
(iv) Wagon parameters entry
(v) Wagon defects marking and nomination(sick/fit/ROH/POH/NPOH marking)
(vi) Unfit memo generation and print.
(vii) Wagon exchange from one rake to another.
(viii) BPC creation and print
(ix) Reports for viewing rakes examined and detachments in yards.

WISE: Workshop Information System

WISE-II is for the benefit of Indian Railways			Benefits
34 workshops	HR ESS	Reports & Docs	1. Ease of Information
			2. Online Leave/Pass/PTO 3. Lower Maintenance costs 4. Enhanced Efficiency 5. Lower Downtime 6. Reduced Inventory 7. Predictive Maintenance 8. History Tracking 9. Failure Analysis 10. Higher employee satisfaction 11. Paper less document flow
150 Types of Passenger Cars 50 Types of Wagons 30 Types of Locomotive	About 2 lakh Employees About 150000 M&P	About 250000 wagons About 70000 coaches About 10000 Locos	

- *ERP Project of Indian Railways for the POH/IOH/SR of Rolling Assets.*
- *State-of-the-art Technology like SAP, HP High end Servers, Juniper Routers, Industrial Kiosks, PDAs, E pen.*
- *Project sub-divided into two parts- ERP (SAP) implemented in WORKSHOPS and custom-built central application (J2EE) in all Divisions, Headquarters, Production Units, RDSO and Railway Board.*
- *Seamless Integration with FOIS, ICMS, LMS, FMM, MMIS and PRIME.*
- *Soft launch of WISE application was held on 14 Aug 2012 at Raipur wagon repair shop.*

IRWMS-Indian Railway Wagon Management System

- Wagon master data base
- Cleaning requires to be done to update 11 digit wagon numbering.

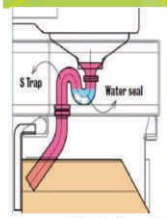


Present Toilet: Design Issues?



Present Toilet:

Is the design itself leading to hygiene(smell, cleanliness) issues?



Fitment of Bio-Toilet with trap, has necessitated that adequate flushing force is available for waste to get conducted to bio-tank. In case of inadequate flushing , bad smell/ floating waste would propound.



- Improper Flushing: Difficult to use; Poor Water Flow
- Bio-Toilet decay process: Decay: Gasses Smell, if gasses, not exhausted
- Poor Ventillation: Smell stays
- Floor Drainage Issues: Shabby appearance; Corrosion

Also ADD:
- Waste Disposal
- Smoking
- Paan/Gutka
- Spitting
- Poor Toilet Habits

Why bad odour in toilets:

i. Improper Toilet usage with waste strewn around, by rail customers.
ii. Inadequate flushing/ No flushing after toilet use.
iii. Improper/ Incomplete attention to toilet cleanliness during Primary maintenance of rakes.
iv. Poor (Less/ No) air ventilation in toilets.
v. Non-clearance of Waste disposed in dustbins.
vi. Choked Bio Toilets (mostly due to incorrect disposal of waste by customers).
vii. Inadequate charging of Innoculum resulting in non-functioning/ improperly working bio toilet.
viii. Non availability of Water in toilets.
ix. Non availability/ Improper working of toilet fittings like flush valves.
x. Poor/ Improper drainage of toilet floor/ Toilet seat.

TYPES OF BIO TOILET BASED ON WORKING MECHANISM

- P-Trap (Due to operational problem of Ball Valve , its proliferation has been stopped)
- S-Trap
- (Better design as far as smell is concerned but chocking problem has increased as provision of direct discharge has been eliminated)

S-Trap

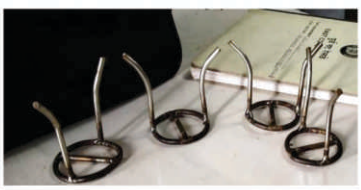
- Pros
  - Complete enclosed system.
  - Less smell.
  - less maintenance
- Cons
  - Prone to chocking
  - More flush water is needed.

Requirements of a good toilet

- Properly fitted fishtail on the flush pipe.
- Louvers on toilet doors for ventilation
- Cross mesh on Indian style pan hole
- Water trap
- Working suitable ventilation fans blowing out (not in)
- Odonil
- OBHS with tools
- Odour masking vs Odour control

S-trap modification

- To restrict entry of unwanted material inside Bio-Toilet
- A mesh has been designed to be placed inside S trap.
- Not visible from top like earlier.





Trap on toilet pans





Water from all sides to come and not only from fish tail.-Pipe to be embedded in pan



How to make working of Bio Toilet more efficient.

- Flush and turbulence is very much required o avoid chocking.
- Can be achieved by Improvement in water circulation system :-

Modification in commode pan

- 1 mm holes in commode pan to spray jet. Modified and 4-5 mm hole drilled.
- Often clogged.
- clogged holes making pushing of push valve hard.



Existing Modified

Drain pipe cleaner for 'P' trap jam



Various other tools developed to clear jams



To clear the 'P' trap jam



To operate link mechanism for opening Ball valve in Western toilet

Inadequate ventilation in toilet

- Smell toilet.
- Ventilation is very important.
- MCSW has developed ventury based ventilation.





Bio toilet evacuation and filtering machine

- Clears first chamber
- Vacuum based
- Inbuilt strainer
- Pumps back after filtration



Stationary E Toilet



E-Toilet

- 11013-LTT-Coimbatore;trial
- E-toilet Features:
- The e-toilets, developed as a retrofit able design, in collaboration with Eram Scientific, Trivanthapurum.
- **Auto Pre-flush**: On sensing of the opening of the toilet door, the toilet pan is automatically flushed, giving a clean hygienic toilet for each use.
- **High pressure, push button activated flushing**: An elect. operated valve ensures flushing with the ease of a button press. Pressurized flushing is ensured through pressure nozzles integrated in the toilet pans.
- **Custom designed Indian pan** with integrated, adequately sloped floor for all round flushing.
- **Auto Floor flush**: After 5 usages, the floor is automatically flushed clean
- **Concealed piping** with reduced joints.
- **Interiors done using plastic recycled crib sheets**. These sheets are made after hot pressing, shredded plastic waste of empty toothpaste/ cosmetic tubes + empty tetra-packs.
- The e-toilet uses 1.0-1.2 lts of water for Preflush & floor wash & 3.2-3.5 lts for main flush, compared to 5-5.5 lts in existing toilets (if valve is kept pressed).

IR - LOCO HAULED TRAINS

- ✓All Mainline Intercity and Long Distance Trains are Locomotive hauled
- ✓ Mainly Two Variants of Coaches –
  - LHB design – 160 kmph
    - Catering Rajadhani, Shatabdi, Duranto etc.
  - ICF design – 110/130 kmph
    - Other Express and Passenger Services (currently being replaced by LHB coaches)





Need for Trainsets

Loco hauled VS Trainset

Loco hauled Train	Train set
Locomotive hauled	Distributed Power
Reversal requirements at terminals	No reversal requirement at terminals
Sluggish acceleration & deceleration – 0.2-0.3 m/s^2 Time to reach 130 kmph – 279 sec.	Quick acceleration & deceleration– 0.8-1.0 m/s^2 Time to reach 130 kmph – 50 sec.
Inferior utilization of platform and on-board space	Better utilization of on-board and platform space
Concentrated weight in locomotive. Higher coupler forces	Uniform weight distribution. Lower coupler forces

Train Sets

- Trainsets are nothing but a set of Rail Coaches coupled mechanically and electrically with Driving Cabs at both ends and distributed traction power across the coaches.
- Depending on the requirement, the amount of power i.e number of powered coaches can generally vary from 50% to 100%.
- For semi-high speed and High Speed application Electric Multiple Units (EMUs) are the only choice for Trainsets given the advantage of lower weight and faster acceleration.

- A typical Power Centralized concept where the train is hauled by Two Power Cars at Both Ends is shown. On Indian Railways the Diesel Electric Multiple Units (DEMUs) and MEMUs (Main Line Electric Multiple Units) Work on this concept. The Power Cars will have the drive Cabs. As a result of Concentration of Power Equipment on one end, the axle Load of these coaches will be high – for example Axle Load of Power Car of DEMU is 20.32 T. Also the axle load of a WAP7 Locomotive is 20.5 T



- In contrast the Distributed system like that used in EMUs and Metros has following configuration. The darkened wheels represent motoring, however the Ratio of Motor Coaches differs. In the 3 Phase AC-AC Kolkata Metro train-set which ICF has manufactured the Powered coaches ratio is 50% , whereas in 3 Phase AC-AC EMUs which ICF manufactures for sub-urban services , the ratio is 33%.



IR - TRAINSETS

- ✓EMU - serving Metro cities - 8000 cars
- ✓ MEMU - Sub-urban services – 600 Cars
- ✓DEMU - - Sub-urban services - 2000 Cars
- ✓Metro Trains - Kolkata Metro - 251 Cars
- ✓ SPART - Self Propelled Accident Relief Trains -120 Cars

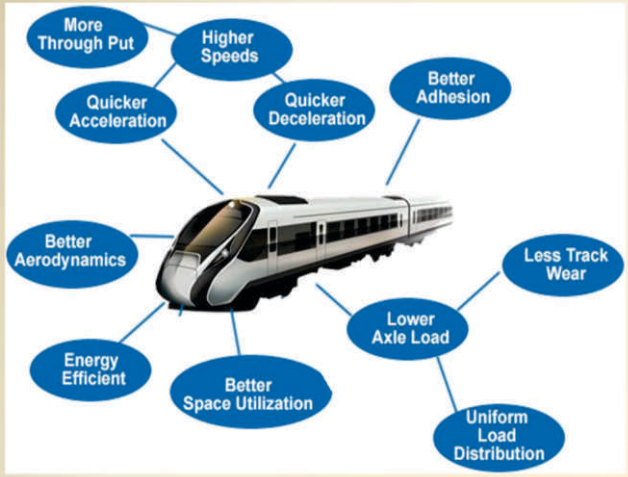




- Japanese high-speed train system, Shinkansen, has employed the EMU system
- The distributed power train-sets have lighter axle loads, allowing operation on lighter tracks, where locomotives may be prohibitive of higher axle loads. Another side effect of this is reduced track wear, as traction forces can be provided through many axles, rather than just the four or six of a locomotive.
- They generally have rigid couplers instead of the flexible ones often used on locomotive-hauled trains. That means brakes/throttle can be more quickly applied without an excessive amount of jerk experienced in passenger coaches.
- In a locomotive-hauled train, if the number of cars is changed to meet the demand, acceleration and braking performance will also change. When 2 or more multiple units are coupled, train performance remains almost unchanged.
- The most important advantage of recent high-speed EMUs is the weight reduction effect. In EMUs, the traction system equipment can be distributed over a train-set, and tractive axles throughout the train-set can obtain the required tractive effort without executing a heavy axle load. As a result, the maximum axle load is reduced.

- The Train-2018 will be a Semi-High Speed (160 Kmph) Multiple Unit Trainset with quicker acceleration and contemporary passenger amenities.
- It will offer both comfort and pace to the passengers and will fit the bill of replacing intercity express trains which have travel time in Six Hour Range.
- All coaches will be Chair Car type for day travel.
- The most prominent feature will be that all coaches will be inter-connected by Fully Sealed Gangways so that passengers can move from one coach to other with ease.
- This is achieved by Shifting all Propulsion equipment from Onboard to Underslung.
- The Trainset will be provided with Automatic Plug Type doors with retractable Foot step which will open and close automatically at the stations.
- To make the travel more a joyful ride, all Coaches of the train will be provided with On board Wi-fi, infotainment and GPS based Passenger Information System (PIS) which will keep the passengers informed about the travel status.
- The train will have plush interiors and diffused LED lighting.
- The Toilets of these coaches will be fitted with Zero Discharge Vacuum Based Bio-toilets and touch free fittings.
- To keep the jerks and vibrations at bay, Train 2018 will be equipped with improved mechanical couplers and modern bogies - with Fully suspended traction motors , Pneumatic secondary suspension and anti-roll bar.
- The Brake system will be Electro Pneumatic with brake discs mounted directly on wheel discs, which will reduce the braking distance, so that full speed potential of the Train Can be harnessed.

Train-set Advantages



TRAIN 18 SALIENT FEATURES

- Stainless Steel Car Body
- LHB design as base design
- 16 Coach Chair Car Type Configuration
- 160 kmph speed . Test speed- 180 kmph
- Maximum Axle Load – 18 T
- Starting Acceleration – 0.8 m/sec^2
- Deceleration – 1 m/sec^2
- Cost 100 crores for 16 coaches.(Approximate 2.5 times less than import)
- Ride index in the range of 3.0

Salient features of Train -18

- Conceptualized, designed ,developed and manufactured with indigenous resources. Bogie design-consultancy taken.
- New generation bogie with fully suspended traction motors.
- Semi permanent couplers.
- Centrally operated doors with sliding steps that closes gap between foot and platform.
- Vacuum toilets and specially deigned disable friendly toilets.
- CCTV cameras inside the coach and outside driver cabin. Driver can see passengers entraining and detraining while closing doors.
- Fully sealed full width gangways with outer faring.
- Wifi based infotainment system
- Dual mode lighting- diffused for general illumination and personal for every seat.
- Every coach has a pantry to serve hot meals and hot and cold beverages.
- Will replace shatabdi's.
- Shakur basti depot; MB-BE (medium speed trial-130 kmph) & Kota-Sawai Madhupur (high speed trial-180 kmph)section for trials.
- Sanction received in April'17 and built in less than 18 months from scratch.(internationally it takes 30-36 months.)

Salient features of Train -18

The testing protocol has following steps: -

- Static testing of onboard systems – lighting, air conditioning, operations of automatic doors, computer circuits, and interoperability of various sub-systems. The computer software was largely tuned at this stage. This stage was completed on 25.10.2018.
- The train was flagged off by the Chairman, Railway Board on 29th October 2018
- The train underwent the low speed trials between ICF (Anna Nagar station) and Villivakkam, a distance of 1 km. Such a short distance does not permit higher speed build-up. However, many important systems were tested such as operations of brakes, interaction of the pantograph with overhead wire, familiarity of driver controls (Loco pilot), and high voltage tests to the extent possible at a speed limit of 30 kmph.
- During the low speed trials a problem of harmonics was noticed, which lead to blowing up of fuses an activation of safety at sub-stations and on some locomotives in the section. These fuses are meant to blow in case of unforeseen harmonics in the system and that is what happened. The locomotives were promptly put back into service, the sub-station attended and a feedback was given to ICF. ICF subsequent further tuned the onboard software for traction and regenerative braking to eliminate harmonics. This was done within a day of reporting. This is a normal phenomenon while developing any new alternative current traction system. nothing was burnt.
- The train subsequently was dispatched to Delhi to be taken to its homing shed at Shakurbusti for pre-trial checks. The train was dispatched on Sunday the 11th November 2018 and reached Delhi on 13th November 2018. The train was hauled "dead" by an additional locomotive since it was not certified to run on its own power enroute. During its travel from Chennai to Delhi at full sectional speed all its mechanical systems such as wheels, springs, pneumatic suspension and pneumatic brakes as well as its dynamics proved themselves satisfactory.

Train Set Dte.RDSO

- Distributed power Rolling Stock-
- MEMU/EMU/DEMU/Train-18/Metro

Speed Certificate for Train 18 Trial

General Manager (Engineering)
West Central Railway
Jabalpur

Sub: Speed certificate for conducting detailed oscillation and Emergency Braking Distance (EBD) trials on prototype rake of 16 -coach formation Train Set under the project name as Train-18 manufactured by ICF/Chennai, up to a maximum test speed of 180 kmph & 160 kmph or 10% below the speed at which oscillation trial run is successfully completed, whichever is lower respectively over Shyamgarh-Kota-Sawaimadhopur (SGZ-KTT-SWM) (DN Line) section of West Central Railway on track maintained to C&M-I, Vol.-I standard.

S. No.	Type of coach	Layout Drawing no.	Transportation code	Tare weight	Gross weight
1.	Driving Trailer Coach (DTC)	TRAIN 18/DTC/AC-9-0-001	TS-18/DTC/AC	50.53 t	55.95 t
2.	Motor Coach (MC)	TRAIN 18/MC/AC-9-0-001	TS-18/MC/AC	57.61 t	66.09 t
3.	Trailer Coach (TC)	TRAIN 18/TC/AC-9-0-001	TS-18/TC/AC	55.58 t	64.06 t
4.	Non-Driving Trailer Coach (NDTC)	TRAIN 18/NDTC/AC-9-0-001	TS-18/NDTC/AC	50.89 t	59.37 t
5.	Motor Coach – Executive Class (MC2/EC)	TRAIN 18/MC/EC/AC-9-0-001	TS-18/MC/EC/AC	55.661 t	64.141 t
6.	Non-Driving Trailer Coach - Executive Class (NDTC/EC)	TRAIN 18/NDTC/EC/AC-9-0-001	TS-18/NDTC/EC/AC	49.367 t	57.847 t
7.	Motor Coach (MC2)	TRAIN 18/MC2/AC-9-0-001	TS-18/MC2/AC	57.61 t	66.09 t
8.	Motor Coach (MC3)	TRAIN 18/MC3/AC-9-0-001	TS-18/MC3/AC	57.61 t	66.09 t

Train Set coaches have been designed for maximum operational speed of 160 kmph on track maintained to C&M-I, Vol.-I standard. These coaches have been fitted with centre buffer coupler with semi permanent head and balanced draft gear and Regenerative & Electro pneumatic brake system (Brake blending). Stainless steel car body is provided in these coaches. Train set will have 50% powering. In above coaches, all propulsion equipment will be under slung. All coaches will be air-conditioned chair car and inter-connected with fully sealed gangways. All coaches will be equipped with fully automatic plug type sliding doors with retractable/sliding foot step and automatic glass panel touch free IC sliding door.

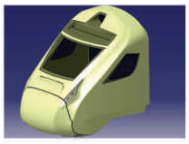
The coaches of Train Set are provided with bogie having fully suspended type of traction motors & bolster less bogie, coil springs in primary suspension and air springs in secondary suspension. The details of bogies of above coaches are given as under:

The test special shall consist of 16 -coach formation Train Set (16-coaches rake: DTC + MC + TC + MC2 + NDTC + MC + TC + MC2/EC + NDTC/EC + MC + TC + MC2 + MC3 + TC + MC + DTC) and instrumentation shall be done on one Driving Trailer Coach, one Motor Coach, one Motor Coach – Executive Class, one Trailer Coach, one Non-Driving Trailer Coach & one Non-Driving Trailer Coach - Executive Class and any one (either DTC, MC, TC or NDTC) of the coaches shall be used as oscillograph car.

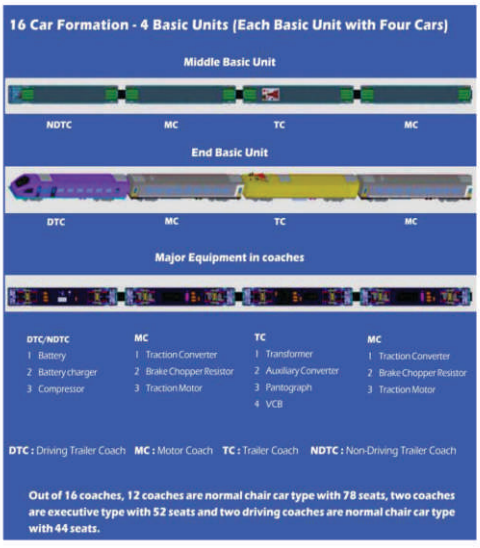
Features of Car-body -

- The Car body will be equipped with Continuous Window Glasses for contemporary modern look.
- The Driving coach will have Aero-dynamic Nose cone for reduced Air Drag and for improved aesthetics.









	Coach	Class	No.of Seats	No.of Coaches
1	DTC	II AC	44	2
2	TC	II AC	78	4
3	MC	II AC	78	7
4	NDTC	II AC	78	1
5	NDTC	Exec AC	52	1
6	MC	Exec AC	52	1



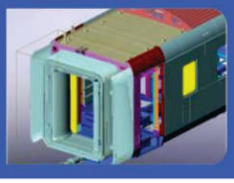
The total seating capacity of the Train 18 is 1128 (44 × 2 Driving Trailer Coaches + 78 × 12 normal chair cars + 52 × 2 executive chair cars) that's more than a Shatabdi Express train, due to availability of seats in the driving coaches and elimination of generator cars.

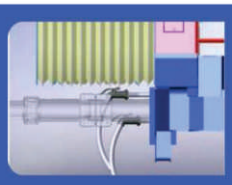
The most prominent feature of Train 18 is that all coaches are inter-connected by fully sealed gangways. Passengers can move from one coach to other with ease. The outer fairing of gangway reduces the Air drag.



Fully Sealed Gangway connecting two coaches (exterior)

Fully Sealed Gangway connecting two coaches (interior)





A new semi permanent coupler has been developed for Train-18 to reduce the Jerk.

Train 18 has two driving trailer coaches with aerodynamic driver's cab (nose cone) on the driving ends which enable quicker turn-around time at destinations. The aerodynamic shape of the nose cone will save energy requirement significantly by reducing air drag, apart from giving the train a sleek and aesthetic look.





On safety front, the Train Control Management System (TCMS) provided with the driver's cab will ensure precise brake control and automated doors control.

The automated plug doors provided on the coaches will open only when the train reaches 0 kmph speed and the train will start only after closing of all the doors.





Automated sliding footsteps will form a temporary bridge between the train and the platform to prevent any accidental slip or fall of the passenger.



CCTVs are provided in all coaches for safe and secure travel. Further, CCTV cameras on both the sides of driving cab would help the driver to monitor the movement of passengers on the platform before closing the doors and taking off, and a front camera will record the signal and OHE condition whenever required

Emergency alarm button and emergency talk back units (through which passengers can talk to crew in case of Emergency).



The train has better passenger amenities such as on-board Wi-Fi infotainment, GPS based passenger information system, plush interiors, bio-vacuum toilets, diffused LED lighting, charging points beneath every seat, individual touch based reading lights, intelligent air-conditioning system that will adjust the cooling according to the climate conditions/occupancy, concealed roller blinds, facility for divyangjan (PWD - passengers with disability) to enter the driving trailer coach using their wheel chairs, PWD friendly toilets, auto sensor taps in the toilets, modern pantry and food service facilities, rotating seats to match with the direction of the train in executive class, automatic sliding doors inside the coach compartments, modular luggage rack with glass bottom and many more.



Propulsion System

The 3 Phase IGBT based propulsion system is developed indigenously. Fully suspended traction motors are of 3 Phase Induction type. The Starting acceleration of Train 18 is 0.7m/sec^2 will reduce running time by 10 to 15%. All the equipment are controlled by Vehicle Control Computer (VCC) which in turn communicate with control units on individual coaches through ethernet backbone.

EQUIPMENT	POWER RATING
TRANSFORMER	2800 KVA
TRACTION CONVERTER	550 KW
TRACTION MOTOR	252 KW

Train 18 incorporates many modern features which debut for the first time on Indian Railways. Train 18 will usher in a new era of passenger travel.

Train 18 costs ₹100 crores (approx.) which is about half the price of a similar imported train. Train 18 has about 80% Indian origin components

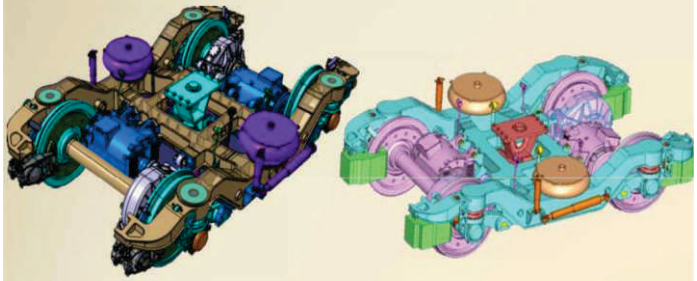
Underslung Equipment



- The underframe is designed for bolster less design bogies, where-in the underframe directly rests on the Air Springs.

- The Front Drivng Coaches (DTCs) will be having CBC couplers and the in between coaches will be permanently coupled with Semi-permanent couplers.

Train-18 (Bogie)



- 160 Kmph Bogie with Fully Suspended Traction Motors
- Bolster Less design with Air Springs in Secondary suspension – First of its kind on Indian Railways
- Wheel Disc mounted brake disc



Full Lighting

Diffused Lighting



First Class - Entrance



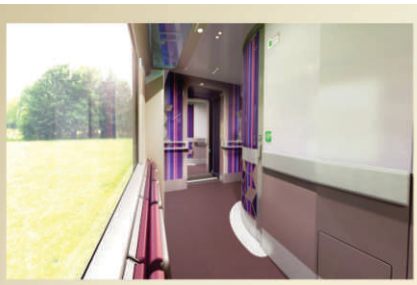
Automatic IC Door



FACILITIES FOR PRM
(Passengers with Reduced Mobility)

SPACE FOR WHEEL CHAIR AND ACCESS





SPACE FOR EASY MOVEMENT



TOILET FOR PRM -TSI PRM COMPLIANT





- **Configuration -**

The Train18 planned to consists of Four Basic Units of Four Coach each.
The configuration of End Basic unit is as follows – DTC+MC+TC+MC
The Configuration of middle Basic Unit is as follows - NDTC+MC+TC+MC

- DTC : Driving Trailer Coach
- TC : Trailer Coach
- MC : MOTOR COACH
- NDTC : Non-Driving Trailer Coach

- Motor Coach will be equipped with Four Fully Suspended Traction Motors.
- The Train-18 will be having 50% Powering i.e every alternate coach will be powered
- All Propulsion equipment will be underslung, leaving the on-board space for passengers.
- All coaches are chair-car type (Executive Class as Well as Second Class)
- All Coaches are Air-Conditioned including Driving Cab

TRAIN 20



- Train sets with distributed powering for passenger traffic, working on 25000 V, single phase, AC, 50 Hz, OHE system. This project is driven by the corporate mission of providing semi-high speed trains with service speed of 160 Km/h, with world-class technology and best in class passenger amenities.
- Project of acquisition of 15 Trainsets at Sanctioned cost Rs 2,500 Crores
- IR's experience is that previous TOT projects though have enabled in acquiring new technologies, the finish of rolling stock is not at par with the Best-In-Class. To ensure that the trainsets are made to international quality standards and to make the project viable, it is planned to get the Trainsets made at ICF by Established High speed trainset manufacturers.
- Coaches must necessarily be of energy-efficient and light-weight construction and therefore will be Aluminum-bodied.
- The train set is code Named as Train-20, as the First such train is likely to be turned out in 2020. Some of the salient features are as follows-
- Speed – 160 kmph
- Test Speed – 176 kmph
- Aluminum car body
- Air Conditioned Chair Car and Sleeper Type
- 20 car-sleeper type coaches-IA, IIA & IIIA.
- Under slung 3 Phase propulsion system
- Automatic Doors
- Number of Coaches being planned -
- 14 Trainsets of 20 Coach
- 11 Spare Coaches
- Total 291 Coaches

- Methodology -
- The first trainset of 20 coaches shall be manufactured complete in all respects at successful bidder's premises and shall be dispatched to ICF .
- From 2nd trainset onwards the successful bidder shall supply the components, sub-assemblies, electrics, furnishing material etc. sourced from themselves or their vendors to ICF and assembly of the trainset car body, bogie, painting and furnishing shall be carried out at ICF.
- Covered Space with Crane facility for Manufacturing and Storages space for material will be provided by ICF.

NMG wagon



These are not narrow-gauge wagons, despite the classification code. These are usually single-decker automobile carriers constructed out of old ICF and BEML passenger stock. The design is not entirely uniform but generally all the windows and doors are welded shut, and a new end door created to allow vehicles to be driven into the wagon (or former coach). The class code 'NMG' stands for 'New Modified Goods';

- BFNS-special flat wagons for transport of steel (coils, sheets, etc.) and also used for transporting rails. Air-braked. CASNUB 22 NLB bogies. Max. speed 100km/h. This bogie flat steel wagon is the one of the first wagon designed in Indian Railways to carry point load in 1998. The wagon was designed specially for transportation of hot rolled/cold rolled coils, plates, sheets and billets etc.Speed 100/100 kmph.;empty/loaded

STANDARD FEATURES OF 'BFNS' FLAT WAGON

S.No	PARTICULARS	Parameter	S.No	PARTICULARS	Parameter
1	Length over head stock (mm)	13716	14	Maximum axle load (tonne)	20.32
2	Length over couplers (mm)	14645	15	Tare Weight (tonne)	26.71
3	Length inside (mm)	13716	16	Pay load (tonne)	54.57
4	Width inside/Width Overall (mm)	2845	17	Gross load (Pay+Tare) (tonne)	81.28
5	Height inside/Height (max.) from RL	---	18	Ratio gross load/Tare	3.043
6	Bogie centers (mm)	9144	19	Ratio (Pay load to tare)	2.043
7	Journal length × dia. (mm)	RB144.5 Ø	20	Track Loading density (tonnes/meter)	5.55
8	Journal centers (mm)	2260	21	No. of wagons per train	42
9	Wheel dia. on tread (New/Worn) (mm)	1000/906	22	Brake System	Air Brake
10	Height of C.B.C. from R.L. (mm)	1105	23	Coupler	C.B.C
11	C.G. from R.L. (empty) (m)	-	24	Bearing	CTRB
12	C.G. from R.L. (loaded) (m)	-	25	Maximum Speed (Loaded)/ Empty	100/100 kmph (75/80Kmph, in case of speed certificate conditions not meeting)
13	Floor area (Sq.M)	-			

On 09/10/18 first rake of BNFSM (22.9t) of 59 wagons was loaded with Steel HR coils from Tata Steel's Kaligangar plant, KUR division and dispatched to Paradip Port. Rake has been acquired by Tata steel under SFTO scheme and with expansion of their plant and acquiring Bhushan steel ,they plan to induct 5 rakes.3700T of steel coils can now be evacuated in one rake as compared o 2700 T in BRN wagons with 43 wagon composition. Increase in through put by 37%.

SFTO scheme-Special Freight Operator Scheme-Revised Policy Launched 02/07/18;Permits logistic service provider or manufacturer to invest in wagons and use advantage of rail transport to tie up wait end users and market the train services owned by them for rail transportation of selected commodity. Such wagons will not form a part of wagon pool of IR. Various categories are –

(i) Category 1-Bulk fertilizers, Bulk Cement, Fly Ash
(ii) Category 2-Bulk chemicals, petrochemicals, bulk alumina
(iii) Category-3-Steel products requiring specially designed wagons
(iv) Category 4-Molasses,edible oil, caustic soda.

Registration fees to be deposited (10 crores);Concession agreement valid for 20 years then renewed with fresh registration; Applicant has to apply for a minimum 3 rakes for a commodity under this scheme.; Wagons inducted must be in compliance with IRS designs and inspected by RDSO. Has to procure full rake composition including brake van and 4% additional wagons as maintenance spares.; Freight rebate of 12% for 20 years would be given; Maintenance of wagons will be undertaken by IR at its own cost; Fixed routes;







Roll on – Roll off (RORO) Service-Konkan Railway

- Konkan Railways' novel experiment with 'Roll-on Roll-off' of trucks over BRN wagons has been a resounding success.
- In this arrangement trucks are loaded through a ramp provided at the dead-end of a loop on BRN wagons which have been suitably modified for through passage of trucks over them.
- Before loading over the BRNs, the trucks are weighed and passed under a height gauge (maximum height – 3.4 meters above road level) to ensure that they conform to the maximum moving dimensions for safe passage.
- The driver and cleaner of the truck travel along, sleeping in their truck cabin.

- Benefits of RO-RO-

-RORO services save precious fuel for the nation.
-Speed of Ro-Ro train is fast enough as compared to movement by Road
-Terminal time of loading/unloading is just 15 to 20 minutes in Ro-Ro.
-Better turnaround of trucks.
-No risk of accidents
-No wear and tear of trucks
-Less pollution as trucks are not plying on the roads.
-Tariff is competitive to sustain the market forces.
-No hassle of octroi, toll etc.
-No detentions at terminals



- Roll On Roll Off service is presently available between the following points

1Kolad (145 kms. from Mumbai) and Verna (12 kms. from Madgaon)
2Verna and Surathkal (20 kms. from Manglore)
3Kolad and Suratkal
4Ankola and Surathkal

- The double stack container trains were 19 feet high and ran on non-electrified/ Diesel routes. The 19 feet high double stack container trains were first run on the Jaipur-Mundra port route in 2009.

- Indian Railways has introduced Double Stack Dwarf Container Services. This freight train was flagged off on 7th July, 2018 from Western Railway's Rajkot railway station on its maiden commercial run. This train was booked from the Reliance Rail Siding at Kanalus to Rewari in the state of Haryana; it was loaded with 82 containers Polypropylene Granules. Due to this Double Stacked Dwarf Container service, Indian Railways has received increased revenue of Rs. 18.50 lakhs.

- The Double Stacked Container is 6 ft 4 inches in height and can run on electrified tracks. Despite being smaller in size, the dwarf containers can hold a capacity of 30,500 kgs. In comparison with regular containers, these containers are 662 mm short but 162 mm wider. The dwarf containers can hold a volume of approximately 67% more when compared to traditional containers. These containers in double stack formation can run under 25kV overhead lines.

Double Stack Container



BCACM wagon



BCACBM wagon



Design & Development of 25T axle load Open Wagon-BOXNS

The design features:

1. Designed with the best ever Pay/Tare ratio of 4.21.
1. Fish Bone Structure with Side Stanchions integrated with Cross Members.
2. Shorter but Taller Structure Design.
3. No Door Design.
4. Fully Welded Construction.
5. Optimal Material Selection. Cost Effective Design utilizes stainless steel on surfaces in contact with coal but utilizes HSLA carbon steel in underframe.



High-strength low-alloy steel (HSLA) is a type of alloy steel that provides better mechanical properties or greater resistance to corrosion than carbon steel. HSLA steels vary from other steels in that they are not made to meet a specific chemical composition but rather to specific mechanical properties.

BTAP UPGRADED-ALUMINIUM CARRYING WAGON - TYPE BTAP-CEMENT/FLY-ASH



Salt Wagon



ELECTRICAL

INDEX

ELECTRICAL ENGINEERING

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		The Organization
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2	**Chapter 2**	Air conditioning
3	Chapter 3	Electric Traction Distribution
4	Chapter 4	Locomotives
5	Chapter 5	TRO
6	Chapter 6	Energy Conservation and Environment.

Oranisation of Electrical Department

RAILWAY BOARD LEVEL

⇩

Chairman (CR)

⇩

Member Electrical

⇩

Addl. Member Electrical

⇩ Ex. Dir.(RS) ⇩ Ex. Dir (PS) ⇩ Ex. Dir(RE) ⇩ Ex. Dir(DEV)

Zonal Head Quarter Level

⇩

General Manager

⇩

Chief Electrical Engineer (CEE)

⇩ CELE (Chief Electrical Loco Engineer)	⇩ CESE (Chief Electrical Service Engineer)	⇩ CEDE (Chief Electrical Distribution Engineer)	⇩ CEE(Plg.) (Chief Electrical Engineer/ Planning)	⇩ CEE(RS) (Chief Electrical Engineer/ Rolling Stock)	⇩ CEE(C) (Chief Electrical Engineer/ Const.)	⇩ CETE (Chief Electrical Traction Engineer)

DIVISIONAL LEVEL

⇩

DRM

⇩

ADRM

⇩ Sr. DEE (TRS) ⇩ Sr.DEE (TRD) ⇩ Sr. DEE (TRO) ⇩ Sr. DEE (P)

Activities of Electrical Department on Indian Railways

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CHAPTER 1

1	Salient features of train light system
2	Train lighting system on Indian Railways

SALIENT FEATURES OF TRAIN LIGHT SYSTEM

1. All copper wiring and switchgear parts were replaced by aluminium.
2. The brass parts were replaced by galvanised cast iron.
3. Guard control was dispensed with and so also IVCs.
4. Number of fire prevention measures were provided.
5. Number of anti-theft measures were provided.
6. All coaches were made independent and self-sufficient for the power requirements. For introduction of this system again all the coaches were worked to shops and coaches provided with the new wiring and equipment. By late 60s, almost all the trains were covered by this system.

The introduction of new system solved the problems connected with theft but created many more problems like -

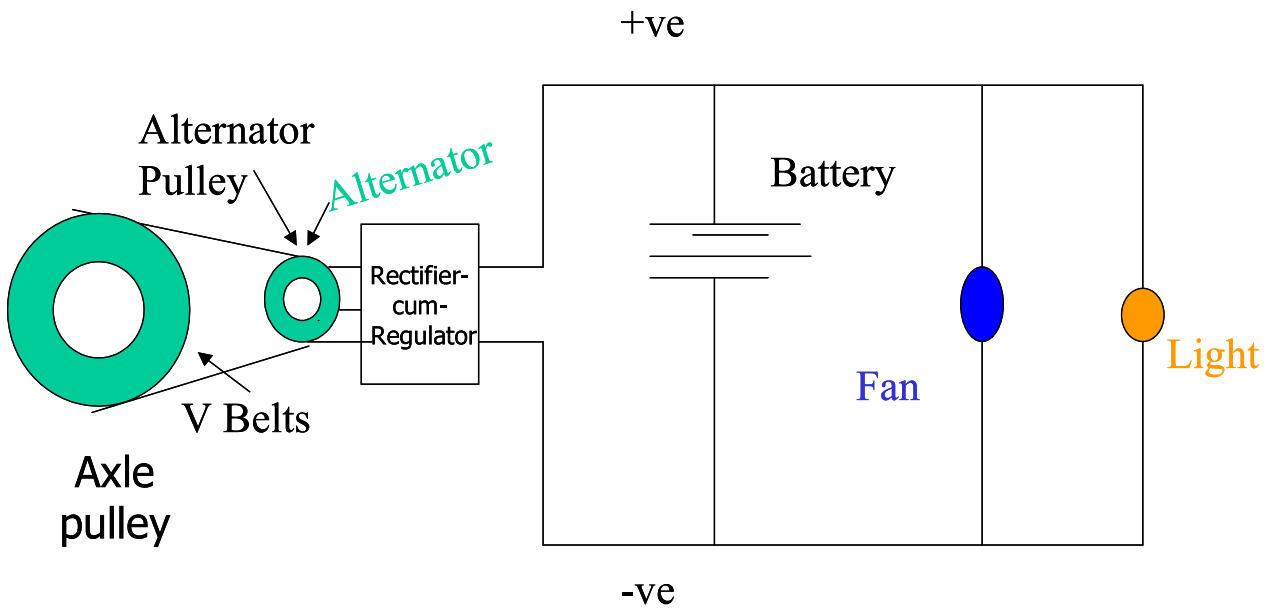
- aluminium wiring is bulkier as its conductivity is lesser than copper;
- aluminium is brittle and at termination and joints gets loose and heated up and at times becomes a source of sparking.
- gets oxidised easily at termination and joints and may cause open circuit.

In Train Lighting system, we have adopted 110V for all the equipments. The batteries are having 54 cells in series each having the voltage of 2V. For charging the batteries, we require at least 127V generation voltage.

Batteries are secondary batteries of led acid cells. The generator and the batteries are interposed by rectifier – cum- regulator equipment.

CAPACITY OF EQUIPMENT

	BG	MG
Alternator	4.5 KW,110 V	3 KW,24 V
Battery	120 AH (110V)	210 AH (24V)
Belt	V Belts-C122,4 numbers	100 mm Flat



Self Generating T L SYSTEM

TRAIN LIGHTING SYSTEM IN INDIAN RAILWAYS

1. Axle drive

Whatever we have discussed above, is axle drive wherein the moving axle works as a prime mover for generator. The axle pulley and generator pulley are connected by V- belts made of canvas and rubber.(C122) However, there is a technical limitation for generation with this drive. The belts cannot generate more than 4.5 KW. And when the requirement of power exceeds the limit, other means are to be adopted.

There is inherent weakness in the axle drive because of belts and this forms the weakest link in the whole chain.

2. End-on generation

There is a category of passengers who want air-conditioned comfort in the moving trains along with cool drinking water, hot food, piped music, and radio communication. All these require power and for meeting the power requirement, it is beyond the capacity of the belt axle drive. Therefore, a part of the Brake van is utilized for housing a diesel generating set which generates 750V -3 phase, 50 Hz AC. This generating car is placed at the ends in the formation of the train and the power supply is given to all the coaches through specially designed IVCs. The 750 V 3 phase AC supply is stepped down to 415V 3 phase AC supply with help of a 50/60 KVA stepped down transformer provided on the underframe of each coach. A separate 3KVA transformer 750 V / 415V / 110V is provided which feeds power supply to lights and fan circuits. A WRA is also provided in the underframe. The air-conditioning equipment work on 415 V, 3 phase power supply while the lights and fans work on single phase 110V AC. This enables us to provide fluorescent lighting in the coaches and all the power requirements are adequately met. The generator presently provided are of 500 KVA capacity, 2 in each coach - one working and the other standby.

Advantage of the system are -

- It is very reliable
- Any amount of power requirement can be met by choosing adequately rated generator
- The fluorescent lights can be provided in the running trains

Disadvantages are -

- It is costly, because train lighting system is 110V, it is inflexible and
- Part of the coach where the generator is provided is lost for revenue earning

Self generating type (Invertor type)

2 nos of 22.5 / 25 KW, 110 volt 3 phase ac alternator driven by axle pulley feeds supply to rectifier regulator panel (separate for each alternator). The regulator feeds output 110 volt DC to batteries (54 cells 1100 ah) and to invertors (2 nos) one for each unit.

The invertor gives 415, 3 phase A.C. which is fed to the A.C. plant. The control circuit of the control panel is operated at 110 V A.C. The lights and fans are operated at 110 V A.C.

The package unit is light in weight, only 650 kgs as compared to 2700 kgs of conventional underframe A.C. plant. It is easy to replace (takes only 4hrs) having least failures.

The velocity of air through duct is 360 m/min and the velocity of air in coach (below 1.5 m from main duct is reduced to 30 m / minute.

Line diagram of the self generating (invertor) coach for power supply :

3. Mid-on generation

There are two situations where this is a must :

- when adequate service time is not available;
- where the generation to non-generation ratio is very poor

In this system, the diesel generator is provided which generates 415V AC but which is further transformed and rectified to 24V. DC. For distribution to the coaches. Because of low voltage, the generator has to be in the center of the train so that the voltage drop is equal at either end. There are mid-on-generation system which work on 110V also.

Here the advantages and disadvantages are similar as mentioned in case 2.

4. Train Lighting from OHE

In EMU type of trains, this system is already functioning. Each motor coach is provided with a 100V motor generator and takes care of the EMU unit.

Incase of MEMU rakes the 25KV AC single phase supply from OHE is stepped down to 141 V single phase AC to feed all the light and fan loads.

Chapter 2

1	Factors
2	Coach Air-conditioning

FACTORS

Everybody has some experience of air-conditioning. Following factors decide comfort or discomfort for human beings:

- Temperature
- Humidity
- Draft (velocity or air)
- Purity of air and noise

All above factors ion some degree affect the human comfort:

Temperature : Body metabolism fights its comfort due to high temperature by throwing out sweat which evaporates - the heat of evaporation supplied from the body, resulting in cooling of the body and disappearing of the sweat. As the body loses the heat, the comfort is restored. In case of extreme cold, the body shivers generating more heat to restore the comfort.

Humidity : The common term in air-conditioning is relative humidity, which is a ratio of the moisture contained in given quantity to the quantity of moisture required to saturate that quantity of air. If the humidity of the air surrounding is very high, then the aforesaid evaporation does not take place and the sweat becomes sticky causing acute discomfort. Same phenomena apply to working of khus cooler or cooling of water in a earthen pot.

Dry bulb temperature: This is the temperature indicated by ordinary thermometer.

Wet bulb temperature: If on the mercury bulb of a thermometer, a wet wick is put and thermometer shaken in air, the temperature will show a drop proportionate to the relative humidity of the air.
The difference in dry bulb and wet bulb temperature is a measure of the humidity in the air. Wider gap indicates less relative humidity and as the gap closes the relative humidity keep on increasing in as much as at 100% RH both temperatures coincide and if further cooling is continued, condensation starts, maintaining the 100% RH at the new low temperature. Conversely as we increase the temperature of the air, the RH falls as also capacity of the air to hold more moisture increase.

The body temperature of the human being also plays an important role in one's feeling comfortable or otherwise in the cool air surrounding. In a typical situation in 2nd AC coach the responses of the different persons are different to the same ambient inside the coach because these persons may be maintaining normally high or low body temperature. A person who normally maintains high body temperature will be subjected to faster heat loss in the air-conditioned surrounding than the one who normally maintains low body temperature.
However if the draft of air is increased, the person having low body temperature may feel uncomfortable. So the comfort depends on

- Body temperature
- Room temperature
- Clothing
- Draft
- Humidity

Effective temperature : For human comfort, there is no best temperature. The dry bulb temperature and RH should be properly related to each other for maximum comfort. The effective temperature is a sort of sensory index which combines the effect of the temperature & humidity. It is a dry bulb temperature of given quantity of air having 100% RH.
For number of sets of temperature and humidity, the effective temperature can be same, as is brought out form the following:

DBC	RH%	% Feel comfortable	ET C	DB C	RH%	% Feel comfortable ETC	ET C
21	100			19.77	100		
21.4	90			20.2	90		
21.8	80			20.5	80		
22.4	70			21.1	70		
23	60			21.7	60		
23.6	50			22.2	50		
24.3	40			22.8	40		
25	30			23.3	30		

Further, the velocity of air combined with the RH also can have same effective temperature as with following example:

DB-25	WB-15	Velocity of air-200 metres/min
	WB-12	Velocity of air-50 metres/min
	WB-10	Velocity of air-5 metres/min

As can be seen from the above, the effective temperature for all the sets of values of wet bulb and air velocity is same and human comfort remains invariant. As the temperature goes down i.e. RH reduces the air velocity has to be reduced to maintain the degree of comfort.

Difference between Air-conditioning & Refrigeration

1. Air-conditioning deals with human comfort while Refrigeration deals with the preservation of perishables.
2. As the air-conditioning deals with human comfort, there is a feedback while there is no such feedback in refrigeration.

Unit of Refrigeration : The unit is 'ton'. If we extract heat from a surrounding at the rate of 12000 BTU per hour i.e. the measure of 'ton' if refrigeration and air-conditioning.

Comfort temperature : For summer and winter seasons following are the comfort temperatures -

	Summer (Cooling)	Winter (Heating)
Low	22 C	17 C
Medium	24 C	19 C
High	26 C	21 C

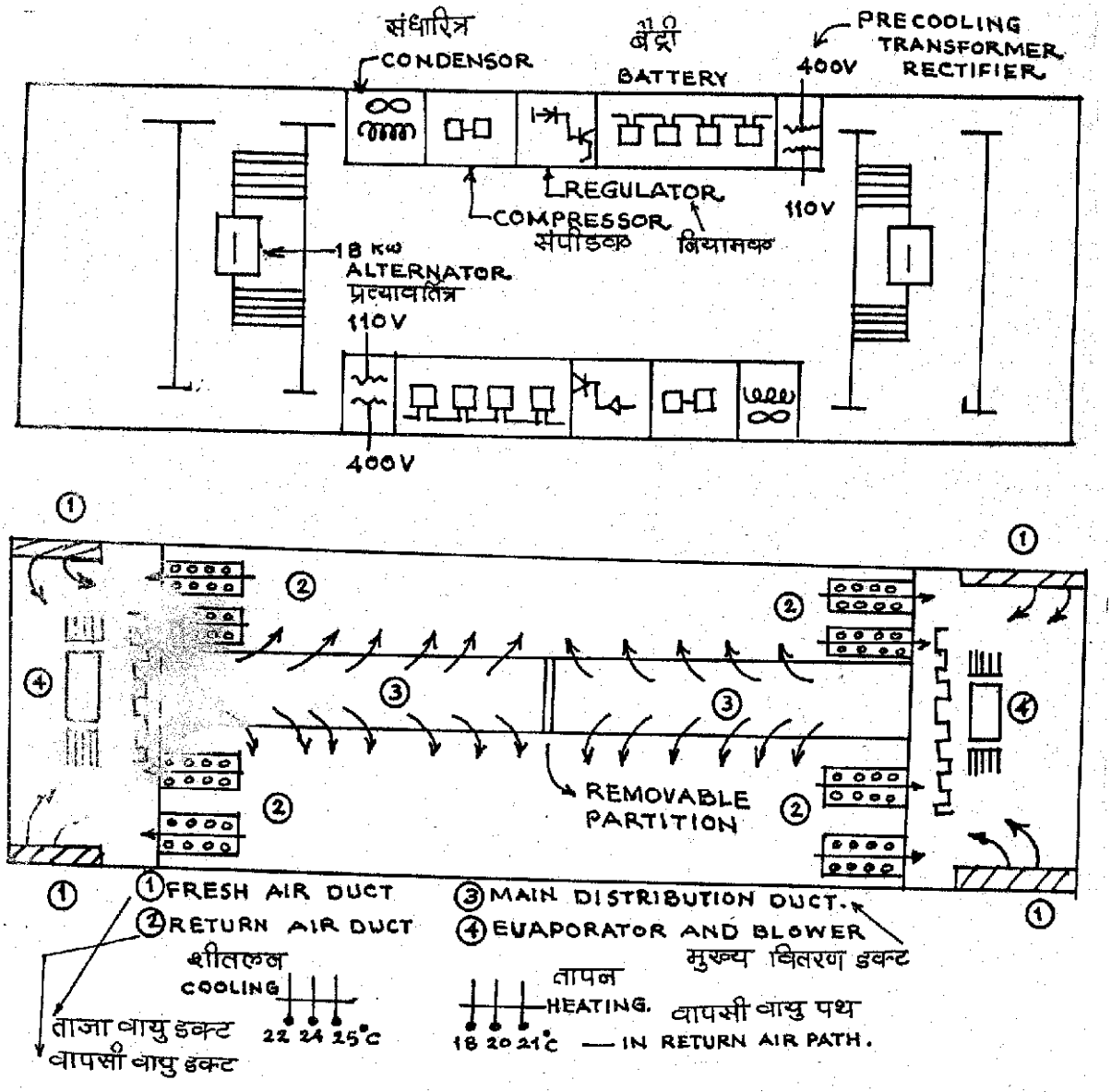
Air -conditioning system

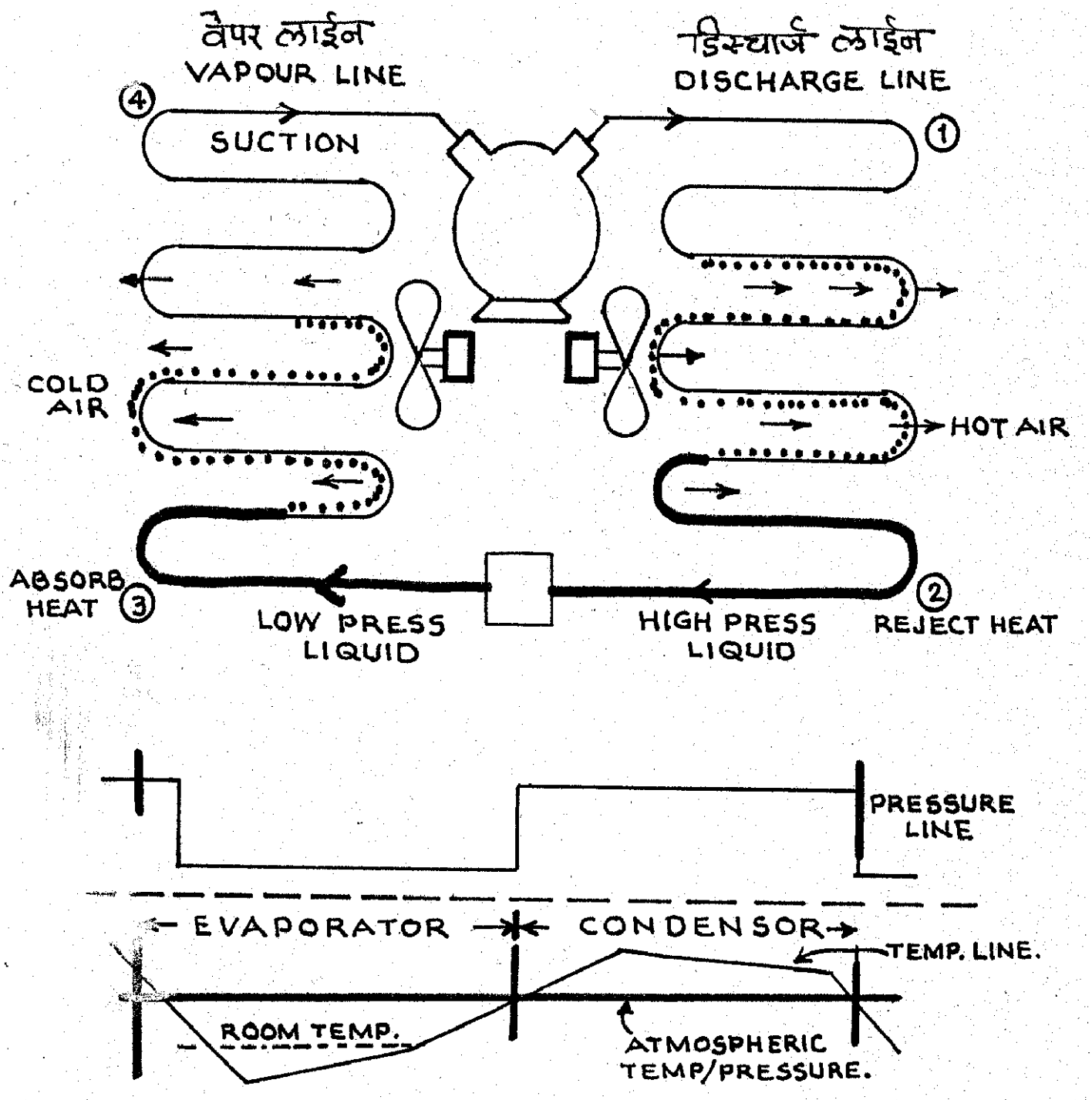
For commercial refrigeration, the system used is electro-mechanical vapour compressor system using FREON as refrigerant.

Coach Air-Conditioning

There are certain problems in coach air-conditioning. Most important is space for providing the air-conditioning equipments. Perforce these are to be provided in the underframe which is already cramped. The following diagrams show the equipment layout in the underframe and the air distribution inside the coach.

The voltage of the system is 110V and 2 plants of 5 ton are provided for the 2nd sleeper and chair car number of men in the 3 types of coaches is different, a common plant capacity has been chosen for ease of standardization and inter-changeability of equipments for maintenance. Power supply is obtained from bogie bounded 18/22.5/25 KW brushless alternator driven by V-belts one for each 5 ton plant.


संधारित्र
CONDENSOR
बैट्री
BATTERY
PRECOOLING
TRANSFORMER
RECTIFIER
400V
110V
REGULATOR
COMPRESSOR
संपीडक
नियामक
18 KW
ALTERNATOR
प्रत्यावर्तित्र
110V
400V
REMOVABLE
PARTITION
1 FRESH AIR DUCT
2 RETURN AIR DUCT
3 MAIN DISTRIBUTION DUCT.
4 EVAPORATOR AND BLOWER
मुख्य वितरण डक्ट
शीतलन
COOLING
22 24 25°C
तापन
HEATING.
18 20 21°C
वापसी वायु पथ
— IN RETURN AIR PATH.
ताजा वायु डक्ट
वापसी वायु डक्ट



As indicated above, the refrigeration machine consists of compressors, condenser, expansion device and evaporator -coil in conjunction with the blower fans.

The entire system is a closed system and all above said equipments except the blower fans are solidly connected by copper tubing. The fan is independent of the system and works separately. The closed system is charged with FREON gas depending on the plant capacity. The compressor is worked from a motor and when the raising the temperature and pressure which is then made to pass through the condenser across which air is blown by separate fan and by the time the high

pressure high temperature FREON reaches the end of the condenser tubes, it is already condensed. After this, the liquid encounters the expansion device which causes sudden expansion of the liquid FREON. The sudden loss of pressure results in evaporation of the FREON while passing through the evaporation tubes, and the heat of evaporation is taken from the air which a blower fan is blowing across the tubes, resulting in the drop in temperature of the air and the gaseous FREON is again sucked by the compressor and the cycle repeats.

Equipments required

- Power supply - generation
- Compressor with motor
- Condenser with Fan
- Evaporator Unit with Blower Fan
- Refrigeration piping
- Pre-cooling motor/Rectifier for self-generating coach
- Heating plus cooling control panel
- Ducting /Diffuser/Filters for fresh air and Return air

Three Tier AC coaches with roof mounted AC package units

These package units are suitable replacement of conventional open type AC plant. The units is placed on top of the toilet on each side of the coach. The details of package units are as under.

Each unit is having 2 numbers of hermetically sealed reciprocating compressors which work on 3-phase 415 volt ac. The refrigerant charged is F-22 (monochloro difluro methane CHCIF2)

The quantity of refrigerant is 2.750 kg. Per compressor. The ac units produce app 14 tonnes of refrigeration required for the coach.

Each unit is having two numbers of condensor fan motors and one number Evaporator blower fan motor. Each compressor is having independent condensor and evaporator unit but condensor fan motors and evaporator fan motors are common.

A separate drip tray is provided for each unit for the condensate.

75 percent of the air is recirculated (return air) & 25% fresh air is admitted through roof filters.

Condensor throws hot air to atmosphere through roof.

Thermostat setting is 62oF & 65oF & 68oF for heating thermostats and 72oF, 75oF & 78oF for cooling thermostat.

Recently instructions have been issued to have only two temperature settings for all AC coaches.

Temperature Setting for Summer – 23ºC – 25º C

Temperature Setting for Winter – 19ºC – 21º C

Each motor is having overload relay which will give red indication in case of over load and trip the concerned motor.

Compressor is designed to trip at 400 PSI in case of high pressure & 35 PSI in case of low suction pressure.

Chapter 3

1	Introduction
2	Overhead Equipment
3	Power Supply
4	Control Equipment

Introduction

In the history of transportation by rail, electricity was used for the first time successfully during the summer of 1879 in West Germany by Dr. Ernest Varner Von Siemens followed by Thomas A. Edison in United States on 13th May, 1880. Since then electricity has been finding wider and wider application in the field of transportation. With the oil crisis in 1974, the impetus to electrification of railways has gained further momentum.

In India, the first electric train was introduced on 3rd February 1925 on ex-G.I.P. Railway from Bombay VT to Kurla and Kurla Bandra. Thus the use of electricity for rail transport in this country is now more than 83 years old.

Basically there are two systems utilized for collection of current by the moving vehicles. In India, the system consists of overhead conductors suspended above the Rolling Stock and the vehicle collects the electric power from the overhead equipment by pantograph. Such a system is called 'Overhead System of Collection'. During the early stages of electric traction, the practice of collecting power was from a third rail supported on insulators. In this system one additional rail is laid on the side of the track and power is collected by the vehicle from the third rail which is supported on insulators at close intervals. This system is in use in almost all large metropolitan cities of the world and because of its economics, it still remains the unrivaled choice of electrical engineers for all underground rail transport. Calcutta Metropolitan Rapid Transport System uses this system.

Basically the electric traction either uses DC system or AC system. In the case of DC, the voltage varies from 600V DC to 3000V utilizing either the third rail system of current collection or overhead system. In the case of third rail system, the voltage is of the order of 600 to 750 while in the case of higher voltage the current collection is through overhead conductors and the voltage may range from 1500V to 3000V.

In the AC system on the Indian Railways the AC supply delivered to the vehicle is at 25 KV, 50Hz which is converted to DC by rectifier equipment in rolling stock and DC series motors are employed for traction.

On Indian Railways 1500V DC and 25 KV AC systems are in use. However 1500V DC system is being replaced by 25KV AC system. 18942 route kilometers on Indian Railways have already been electrified on 25 KV AC system as on 31.03.2009.

We will confine our further discussion to AC traction which is the standard adopted by Indian Railways since 1957. The system is called 25KV AC single phase 50Hz system.

Overhead Equipment (OHE)

The subject of electric traction can be broadly divided into two broad areas. These can be further subdivided into smaller sections which are separate entities by themselves and would need entirely different group of trained staff to handle their maintenance. This is shown below in the form of a tree chart -

Electric Traction				
Fixed Installations			Rolling stock	
Overhead Equipment	Power Supply	Control equipment	Locomotives	Electric multiple units

Traction structures are located at uniform intervals along the track for supporting the traction conductors. The spacing between consecutive structures is called 'span'. These are standardized, the minimum being 27.00m and maximum being 72m. The span ranges from 27.0m to 72.0m depending upon the terrain and alignment. The standard spans have interval of 4.5m i.e. 27,31.5,36,40.5,45,49.5,54,58.5,63,67.5, 72m.

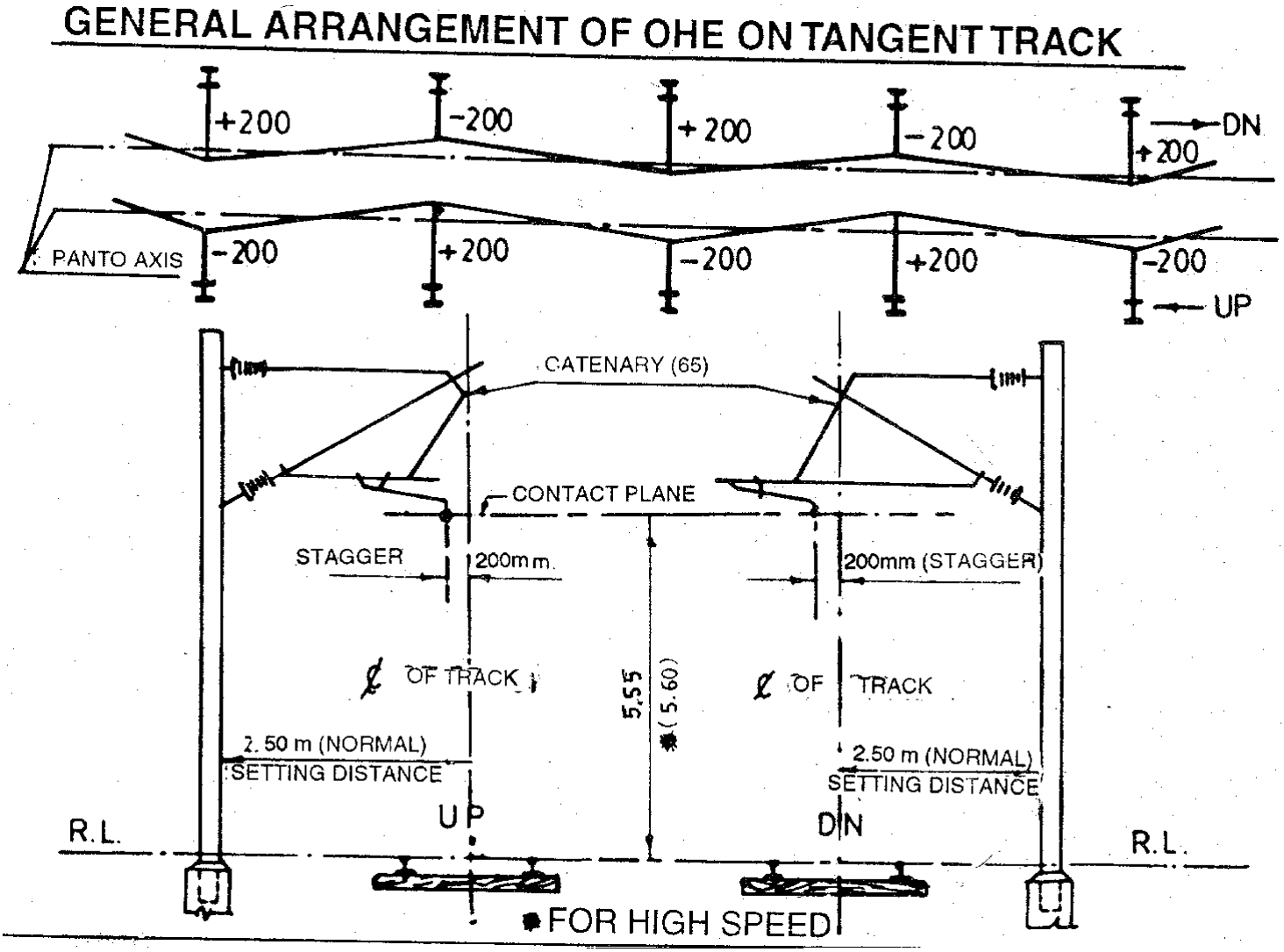
The overhead equipment consists of basically two conductors namely the Catenary and the Contact Wire. Catenary takes the shape of a parabola while the contact wire is kept almost at the same height above the rail level by supporting it from catenary at regular intervals with the help of droppers. The dropper consists of two parts a 'Fixed' one and the other 'variable'. The whole assembly is a flexible assembly.

The normal height of contact wire from rail level is 5.5m in midspan and 5.6m at support for 67.5 span. Presag of 10cm is provided in the midspan for OHE fit for 161 Km/h.

The minimum height of the contact wire is 4.80m above rail level and maximum height is 5.80m. On level crossing it is obligatory to maintain the nominal height of 5.50m. The nominal setting distance of mast is 2.5m. The minimum distance at which the traction structures can be erected is 2.36m from the centre line of the track. For all new works the standard setting distance for OHE structure has been revised to 2.8m .

In the yards where lines are closely spaced and there is inadequate space to comply with the above requirements, it becomes necessary to use structure called 'Portal'.

In open route on a double line section, the structures are located opposite each other so that arrangement is independent both electrically as well as mechanically. Shutdown can be taken independently on any one line without affecting the adjacent line. In the case of any derailment, only line affected by the derailment is out of traffic while the other line is still available for service. As against this, arrangement on the portal although may be electrically independent, mechanically it is not so. Any damage to the structure would affect movement of the traffic on all the tracks covered by portal.



General Arrangement of OHE on Tangent Track

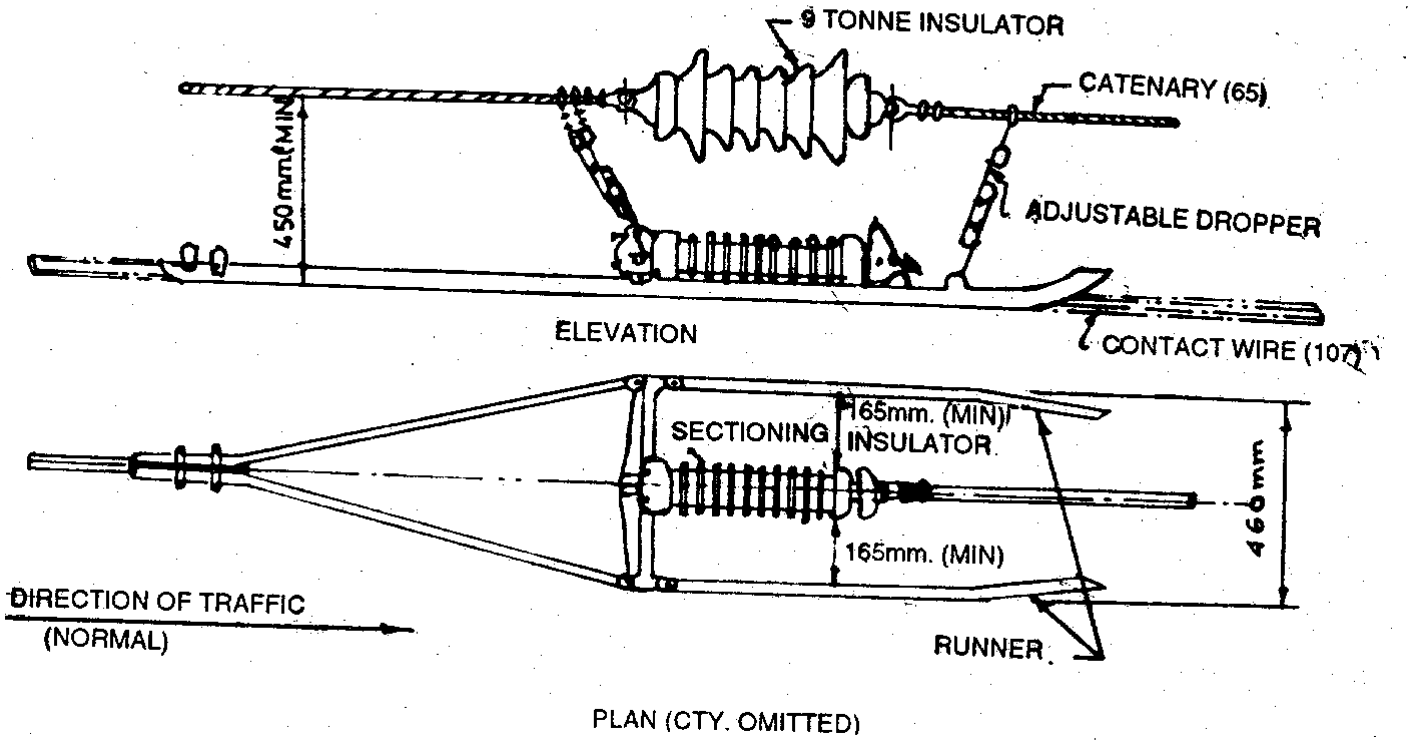
Referring to Fig.1 it would be seen that the contact wire is not at the central axis of the track at the point of the support. The contact wire is displaced with respect to the centre line of the track. It is displaced either towards the traction structures or away from the structure. This displacement is called 'Stagger'. By shifting contact wire from the central axis of the track it is ensured that contact wire runs in a zig zag way. This makes the points of the contact between the contact wire and the pantograph of the vehicle to slide over the pantograph by an amount equivalent to stagger at support. This ensures rubbing of the contact wire over certain zone of pantograph which enables uniform wear of the pantograph. The normal value of the stagger on straight alignment is plus/minus 200 mm.

Like rail, the traction conductors are also subjected to expansion and contraction with variation in the temperature. There are two alternative systems adopted for the construction of overhead equipment. In the simplest system the catenary and contact wire are left to adjust themselves for variation in their length due to change in the temperature. Such overhead equipments where traction conductors are not compensated for expansion / contraction is called 'Unregulated overhead equipment'. This is suitable for speeds of up to 100 Kmph. For higher speeds, it becomes necessary to provide compensation against variation in length due to changes in the temperature. The necessity for the compensation is to keep the contact wire at the same height above the rail level under all conditions of temperature. To achieve the above, a tension of 1000Kgf is provided in catenary as well as contact wire through ATD (Auto tensioning device). This type of OHE is call “Regulated OHE”.

For ease of maintenance, overhead equipment is divided in small sections by using overlaps. There are two types of overlaps: (a) Un-insulated overlap and (b) Insulated overlap. Un-insulated overlaps are connected by a permanent electrical connection while insulated by a permanent electrical connection while insulated overlaps provide a break in the electrical continuity. This break is bridged by appropriate switch (either an isolator or an interrupter).

For providing electrical isolation on emergency crossovers or loop lines, use is made of section insulators. Section insulator is shown in Fig.2. The purpose of section insulator is to provide electrical isolation with mechanical continuity so that pantograph can glide through smoothly.

STANDARD SECTION - INSULATOR ASSEMBLY



For demarcating the limits of different substations a neutral section is provided half way between two sub-stations. This isolates the supply from two adjacent sub stations, which are on different phases.

As required by Electricity Act all traction structures are normally connected to a running rail which earths the traction structures.

Encumbrance

It is a distance between the catenary and contact wire at support in vertical plane. It is 1.4 metres normally and can be reduced to .9 metres in certain cases.

Setting Distance

It is a distance from the center of to track to the edge of the-mast measured horizontally. For tangent locations, it is 2.5 metres, the minimum can be 2.36 metres. For all new works the standard setting distance has been revised to 2.8m.

Support

1) Cantilever support: This is provided for all locations where setting distance is available.
2) Portals : When setting distance is not available, and OHE is regulated, portals are used.
3) Flexible head spans : When setting distance is not available and OHE is not regulated, these are provided.

Spans

This is the distance between two consecutive supports. The maximum span is 72 metres and minimum 27.

We require different spans for providing OHE on the curves and taking OHE in/or over line structures (tunnels and bridges).

It is laid down that the spans have to differ in terms of 4.5m. or its multiples. This is done with the purpose of standardizing the spans as each span requires a set of droppers which are not interchnageable and with the specific set of droppers only the required profile can be obtained. If we have got arbitrary spans, we shall have too many types of droppers making the maintenance very difficult.

At level crossing gates, the height gauge is provided at either end of the gate on the road.

Regulation of OHE

By regulation is meant maintaining certain amount of tension in catenary and contact wires inspite of expansion and contraction of wires with the rise and fall of ambient temperatures. This is accomplished by hanging set of weights at either end of the tensions length. A tension of 1000kg. Each is maintained in catenary and contact wires.

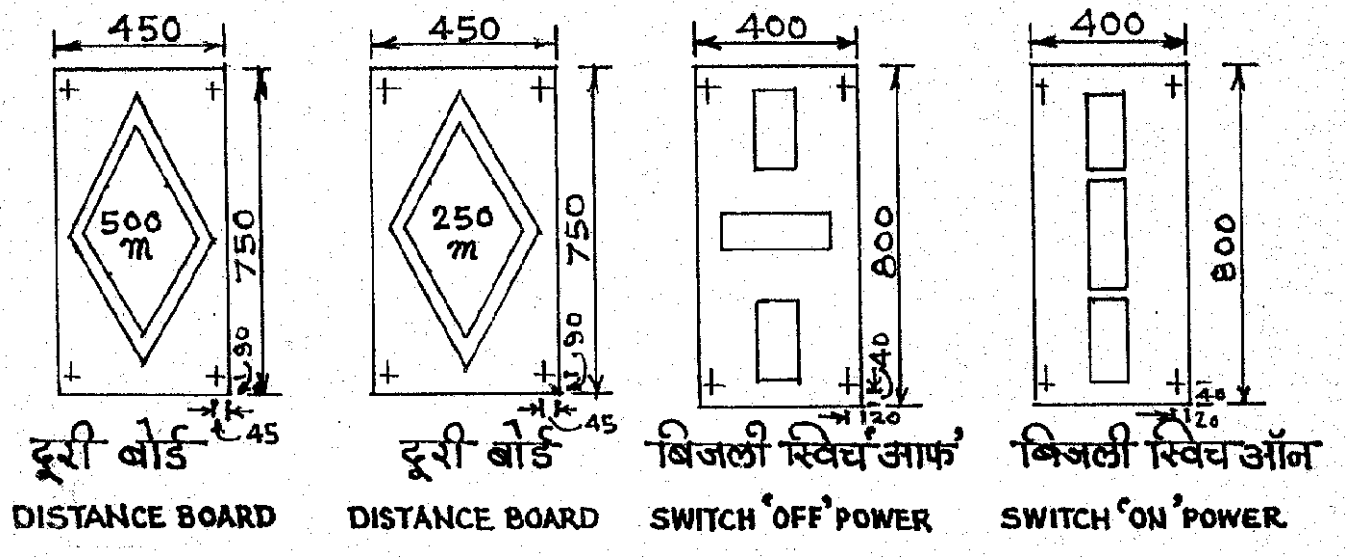
The regulation is done to improve the dynamic behaviour of the OHE and increasing its speed potential.

Power Supply

The power supply to the overhead equipment is at 25 KV AC single phase. To ensure that the three phase network of the electricity board does not get unbalanced, it is necessary to take supply on different phases. As already mentioned earlier the supply from two adjacent substantions is separated by providing a neutral section. The length of a standard neutral section is 41 metres. As the name implies the above length of the overhead equipment does not get supply from any of the sub-stations on either side of the neutral section. The driver of the electric loco negotiates the neutral section under momentum which is technically called 'Coasting'. To avoid arcing while changing over from live OHE to neutral OHE, drivers of the locomotives have instructions to switch 'off' power before entering neutral section. After negotiating the neutral section the driver should switch 'on' power. To inform the driver of an electric train that he is approaching a neutral section, suitable warning boards as given in Figure 3 are provided on traction structures in the vicinity of neutral section.

चेतावनी बोर्ड

WARNING BOARDS



The supply is taken by the Railways from the electricity boards normally at 132 KV. It is stepped down to 25 KV in the traction sub-stations. This is 25 KV supply is then connected to the overhead equipment. The section from the sub-station to the neutral section is divided into convenient sections to suit station spacing, gradients, curves etc. Normally one sub-station feeds a distance of 35 to 40 kms. on either side. For double line one sub-station is sufficient for a route length of 50 to 80kms. Approximately.

After dividing the section between the substation and the neutral section into convenient sections, arrangements are made to install different types of switches for ensuring continuity of supply.

The traction sub-station has a standby arrangement consisting of a transformer and associated circuit breakers. The supply to the sub-station is from a double circuit line. Normally a sub-station would supply power upto the neutral section. In case there is an outage affecting the sub-station, the section affected can be supplied power from the adjacent sub-stations bypassing the neutral section through bridging interrupters. As mentioned earlier, the supply is kept continuous and only for maintenance or during breakdowns that the shutdown is imposed, the power supply is interrupted by operating appropriate switches.

Control Equipment

Basically in Railways three types of switches are installed. They are -

a) Circuit Breaker
b) Interrupter
c) Isolator

a) **Circuit Breaker** : Means a device for closing and opening electrical circuit under all conditions unless otherwise specified, and so designed as to open the circuit automatically under abnormal conditions.

b**) Interrupter** : A switch is in all respects similar to circuit breaker but without an automatic tripping device. There are three applications of interrupter -

i) **Bridging interrupter** : means an interrupter which is provided at a neutral section to enable one sub-station to feed a sector of the overhead equipment normally fed by another sub-station during emergencies or when the latter is out of use. This interrupter normally remains in the open position. ii) **Sectioning Interrupter:** means an interrupter, which connects adjacent sub-sectors together to maintain continuity of supply. This interrupter normally remains in the closed position.

c**) Isolator** : This is the simplest of the switches. It is manually operated switch, but is capable of being operated by an electric motor. The switch is an off load switch and before operating it, it has to be ensured that the power supply through the switch has been interrupted before hand.

The location where the above types of switches are installed are collectively called as 'Switching Stations'. There are three different categories of switching stations.

a) Sub-station / Feeding post (SS-FP) : Here the supply is taken from electricity board, stepped down and power fed to OHE.

b) Sectioning and Paralleling Post (SP) : The supply control post is situated mid-way between two feeding posts at a neutral section and provided with bridging and paralleling interrupters.

c) Sub-sectioning and paralleling post(SDSP) : Means a supply control post where sectioning and paralleling interrupters are provided.

In addition to the above three types which are normally controlled from a centralized place, there are manually operated isolators, located at suitable places for controlling the power supply. As mot of these switches are manually operated, an authorized person is deputed for operating the same. For safety reasons these switches are padlocked as a safeguard against unauthorized operation. The keys of the locks are available either with the traction staff or with the nearest station master. In case of an emergency, the station master is authorized to remove the key from his custody and operate the switch as per the instructions of the authorized traction staff.

Chapter 4

1	Nomenclature
2	Equipments of Electric Locomotives
3	Brakes
4	DEVELOPMENT OF 3-PHASE TRACTION

Nomenclature

Locomotives are classified by means of a 3 letter code followed by a number (series)
First letter - Gauge
W : Broad Gauge Y : Metre Gauge Z : Narrow Gauge
Second letter- Type of Traction
C : Continuous current (DC) A : Alternating current (AC) CA : Dual current (DC / AC)
Third letter- Type of service
M : Mixed Service G : Goods Service P : Passenger Service S : Shunting Service U : Multiple Units
Following types of Electric Locos are available on Indian Railways :
AC Locos
B-B WAG1, WAG2, -WAG3, WAG4, YAM
&
BO - BO, WAM1, WAM2, WAM3
@
CO-CO, WAM4, WCAM1, WAP1, WAG5, WAG6C
(ac/dc)
BO-BO-BO - WG 6 A, B
DC Locos
CO-CO - WCM1, WCM2, WCM3, WCM4, WCM5, WCG2
CC WCG1 (2 Frame mounted Traction Motors per bogie)
HP
YAM1 - 1600 hp WAM4 - 3600 hp WAP1 - 3850 hp WAG5 - 3850 hp WAG9 - 6000 hp WCG2 - 4000 hp
All others approximately 3000 hp.
Bogie Arrangements
B Two axle bogie with one Traction Motor for both the axles.
& BO Two axle bogie with one Traction Motor for each axle.
@ CO Three axle bogie with one Traction Motor for each axle.
B-B Loco with two 'B' bogies
CO-CO Loco with two 'CO' bogies
BO BO BO Loco with three 'BO' bogies

Equipments on Electric Locomotives

The Electric locomotive draws power from the overhead equipment and converts electrical energy to mechanical energy, in controlled manner through motors which drive the axles. To enable the locomotives to do this, they are equipped with suitable equipments which enables the driver to control the speed of the train so as to suit the situation. The equipment on the electric locomotives, depending upon where it is located can be classified basically in three different types. Roof equipment, inside equipment and under -frame equipment. Both the roof and the under frame equipments are subjected to lot of dust, water and atmospheric pollution, and therefore are designed to withstand dust and water. The description of various equipments given in the following pages pertains to WAM4 locomotive manufactured at CLW. The hauling capacity of WAM4 is given in Annexure 'A' and its brief technical specifications given in Annexure 'B'.

(A) Pantograph

It is the main current collecting equipment, which is in contact with the overhead equipment and draws power. The Pantograph is raised by means of compressed air by the driver and the upward force exerted by the pantograph is 7 Kgs. This force is necessary to ensure smooth sparkless current collection.

Each loco is provided with two pantographs and normally the driver has instructions to use the rear pantograph of the locomotive. The main purpose of this practice is to ensure that in case the pantograph of a running locomotive gets damaged, the damaged parts after getting dragged will drop in the space between the locomotive and the following vehicle. In case the front pantograph is in use the rear pantograph is likely to be also damaged by the damaged parts of the front pantograph being dragged along. In case rear pantograph is damaged then front pantograph can be used without any restriction.

In the case of AC/DC locomotives, this practice has not been possible because the two pantographs are earmarked, one for AC system and the other for DC system. The driver of the electric loco has to select the correct pantograph depending on whether he is in AC area or in DC area. Any mistake by the driver in selecting the correct pantograph is protected by a suitable 'voltage sensing device' in the locomotive. The protective device activates a buzzer followed by automatic disconnection of the supply to the other parts of the locomotive through the circuit breaker or by the pantograph being lowered automatically. In case any one pantograph is defective the good pantograph can be used either for AC or DC traction because both pantographs are insulated for 25 KV AC, with suitable speed restrictions.

(B) Circuit Breaker

For protection against any fault in electric locomotive, a circuit breaker is provided in the AC locomotives which disconnects the supply from reaching the main equipment and thus safeguards the electrical equipments against large scale damage, or fire.

(C) Lightning Equipment

The electrical energy from pantograph through suitable bus-bars (electrical connections) supported on insulators gets transmitted inside the locomotive. The high voltage is reduced to a low voltage by using a transformer and tap changer. The low voltage can further be controlled from 0 to maximum of 1750V through the device called 'Tap changer'. This device can be compared with a normal fan regular which enables the user to control the speed of the fan. Driver

through his Master Controller controls the speed of the locomotive by changing the tap position through tap changer which has 32 positions from 0 onwards. For example at the position 0, the driver would not be able to supply any power to the loco and the voltage across the traction motors would be accordingly 0. While on tap on 32, the maximum permissible voltage would be applied across each traction motor. In case the load is less or the speed restriction has to be observed, the driver will manipulate position form 0 to 32 so that he observes the speed restriction and is in a position control the train. The process of changing the notches form zero upward is called 'Notching up' and while coming down called 'Notching down'.

The AC supply at low voltage is converted to DC by using rectifiers. As this DC supply is not smooth, it is passed through a Smoothing Reactor before the same reaches the traction motors. The purpose of smoothing reactor is to smoothen ripples in the rectified DC supply. Typical arrangement is shown in Figure -2.

DC locomotive

In the case of DC locomotives the practice adopted is to connect all the traction motrs in series during the starting period through a number of starting resistances. These starting resistances are slowly cut out from the circuit and the voltage across the traction motors gradually increased. This is further followed by changing motor connection, from series to series parallel connection, and finally the motors are connected in parallel so that the loco can haul the train at its maximum speed.

Auxiliary Machines

These are required for supplying compressed air, creating vacuum and cooling of electrical equipment. The locomotive is provided with control equipments which require compressed air. These requirements are :

- Electro - pneumatic contactors.
- Switching on & off of circuit breaker
- Pantograph
- Exerting pressure of 7Kg on Panto all the time
- Operation of the tap changer servomotor
- Horns / wipers / sanding
- Air brakes on the locomotive

Vacuum Exhauster

For vacuum brakes of passenger & goods trains.

Battery Charger

When the loco is dead, a baby compressor can be worked from battery - it builds up a pressure of 7 to 8 Kg which enable the driver to raise the panto and come on power. Battery charger is provided for charging the batteries.

Arno Converter

This converts single phase 400 V AC supply to 3 phase 400 V. AC supply for working the auxiliary machines in locos.

Cooling Equipments

Loco is having number of vital equipments which carry the current and generate a lot of heat. These equipments are so costly and vital that unless they are continuously cooled with forced air, these equipments will burn out. In case of transformer, this type of forced cooling enables the designer to reduce its size to manageable proportions. As there is limitation of space on the locomotive, forced air cooling has to be adopted.

Following auxiliaries are provided for cooling :
1. Traction Motor blower
2. Smoothing reactor blower
3. Rectifier blower
4. Oil pump for withdrawing hot oil from the transformer & making it pass through radiator coils across which blower blows the air and cools the oil which again enters the transformer.

Choice of 400 Volts 3 Phase

We have 3 choices for the system of voltages for the auxiliary machines. These are -

- Single phase
- 3 phase
- DC machines

In case of single phase and DC machines, the size of the motor is bulkier for the same HP rating as compared to 3 phase motor. In addition, single phase machines require additional space for providing the starting capacitor and in case of DC machines, apart from bulkiness the brush gear and the commutators requires skilled attention. In view of this 3 phase motors have been mostly adopted. The 3 phase motors are to be designed to deal with a very wide range of input voltage from 290 to 460 V - corresponding to 17.5 KV & 27.5 Kv OHE voltage. Auxiliaries are designed to work satisfactorily upto 17.5 KV although other power equipments are to be derated if the voltage goes below 19 KV.

Brakes

1. Loco is provided with compressed air brakes and when it works light (without load), these brakes are used. However, when it is hauling a train, the driver has to use the vacuum brakes. The compressed air brakes of the loco are applied through synchronizing value. The application of brakes is in proportion to the reduction in vacuum of the train.
2. Electric Brakes (Dynamic Braking) : The running train has got lot of kinetic energy of motion and this energy is converted into electrical energy of stopping the train. For this the field is reversed and manipulated and as armature is already moving along with axle the traction motor acts as a generator and while doing so it experiences a reverse torque which retards the motion of the armature and hence the axle of the loco.

These brakes are particularly useful for controlling the train going down the gradient where the ordinary clasp brakes will become very hot due to friction and eventually fade out. The electric brake is free from such friction etc. and therefore is quite effective in controlling the train.

The electrical energy so produced can be dealt with in following two ways :

1. It can be fed back to the OHE for which following conditions are to be met :

i) The generated voltage has to be of the same type as the OHE voltage (generation is DC and it cannot be fed to 25 KV AC IHE unless it is inverted).

ii) The generated voltage has to be higher than the OHE voltage.

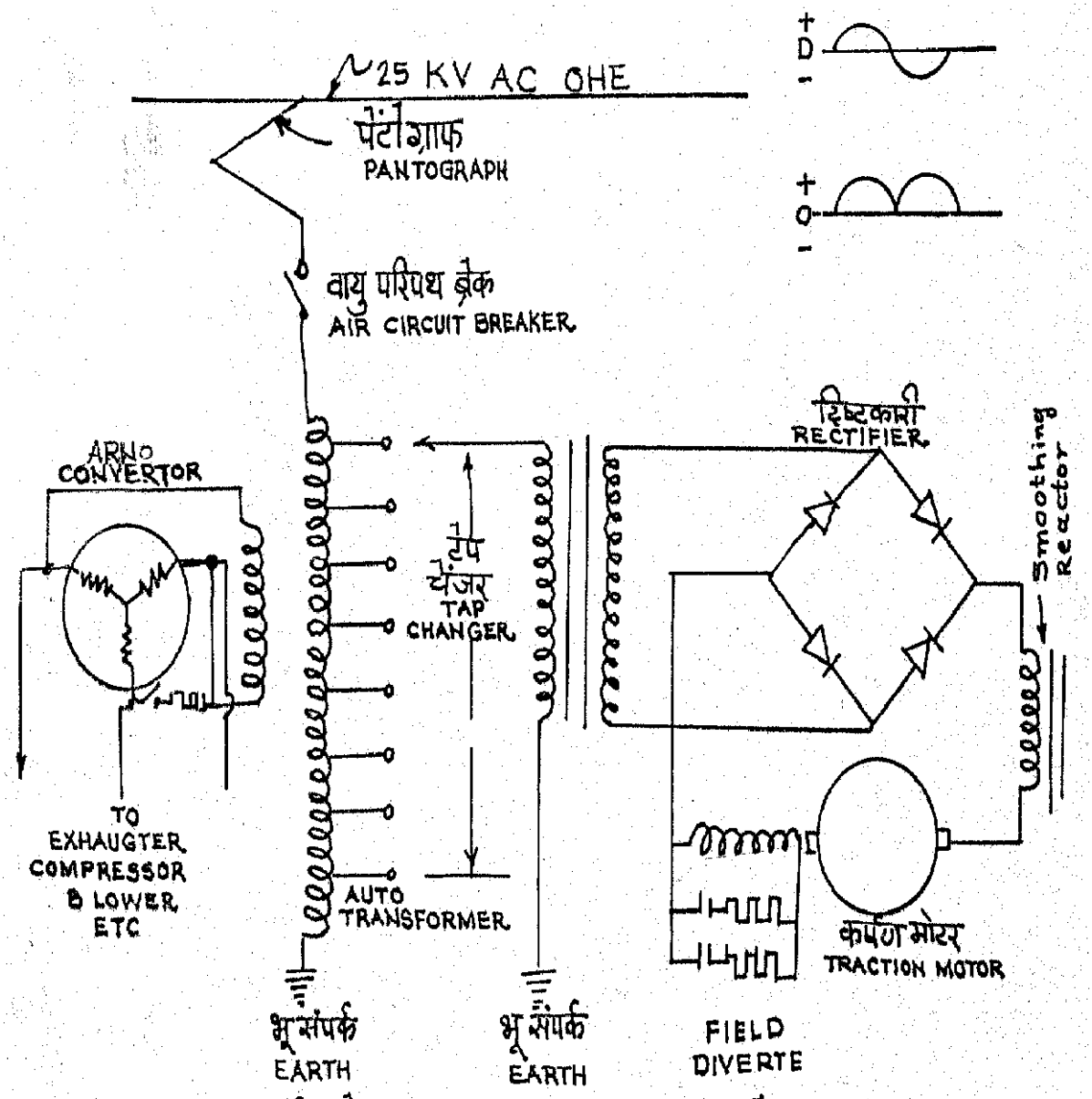
iii) The energy fed to the OHE can be used by another train in the section and if there is no such trains at a particular time, the electric brakes are ineffective.

2. If it is not possible to feed-back to the OHE then it can be destroyed in the bank of resistances.

When the energy goes to the OHE, it is called regenerative braking and when it is fed to bank of resistances it is called Rheostatic braking.

DEVELOPMENT OF 3-PHASE TRACTION

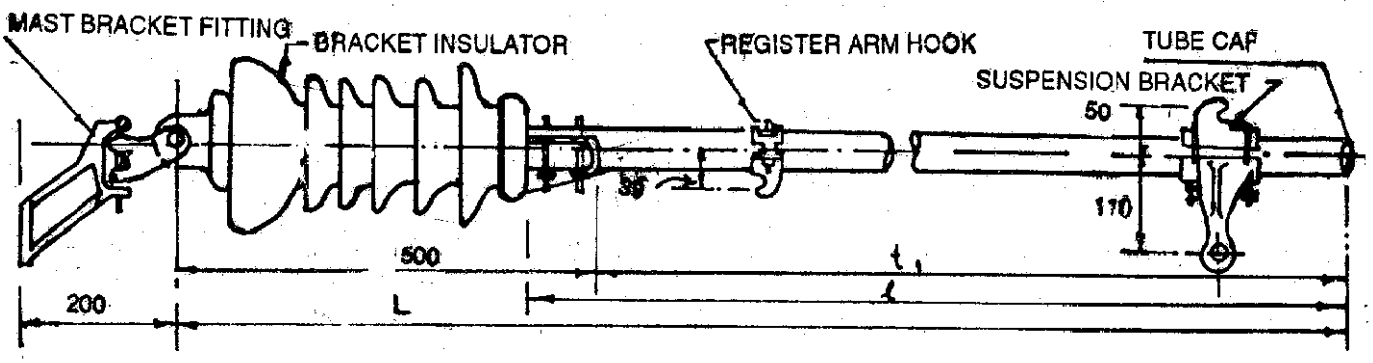
Traditionally, dc series motor has been preferred over any other types of electric motors for traction application due to its inherent torque-speed characteristics which makes it suitable for vehicle propulsion. All electric locomotives used prior to these in IR had dc traction motors. Single phase supply from the OHE is stepped down by a transformer in the locomotive and then converted to dc supply by a full wave rectifier and associated smoothing filter before being fed to the traction motors. Torque/speed control is achieved by variation of the ac input voltage to the rectifier through an on-load tap-changing arrangement on the primary winding of the loco transformer. Unavoidable jumps in the tractive effort due to notch control impose a limit on the level of adhesion that can be realized and, therefore, when a requirement for a high performance electric locomotives arose, the solution came through the introduction of thyristor technology. The concept of thyristor locomotive uptill now meant locomotives with line commutated converters feeding dc motors from an ac supply. DC separately excited traction motors have usually been used on these locomotives, the required traction characteristics being obtained by precise control of the armature and field currents separately using thyristor converters controlled by an elaborate microprocessor based control system. The principle of phase angle control of thyristor bridge is employed. The thyristor technology has been widely accepted for traction duty since it resulted in considerably improved systems providing fast and stepless control over tractive effort and speed to realize higher adhesion levels. As is well known, dc motor is maintenance intensive. In addition, direction reversal and rheostatic braking on dc-motored locomotives require use of other maintenance intensive switchgears. Further, the dc current at the output of the rectifier/converter causes the input current from the OHE to be more rectangular than sinusoidal which in turn results in introduction of harmonics in the power system in addition to poor power factor. These problems get accentuated when regenerative braking is attempted in a locomotive having dc traction motors. More sophisticated control electronics and converter schemes have been introduced time to time to improve the input characteristics of electric locomotives in respect of improved power factor and reduced generation of harmonics in the supply network. Nevertheless, there has always been a strong wish to be able to utilize the time-proven robust squirrel cage induction motor for traction application since its characteristics such as high power density, greater reliability, higher operational speed and lower maintenance needs are considered to be the ideals for a traction motor. In addition, use of an induction motor in locomotive propulsion system would mean a new chapter in regenerative braking capabilities.



ए. सी. रेल इंजन का ब्लाक आरेख

BLOCK DIAGRAM OF A.C. LOCOMOTIVE

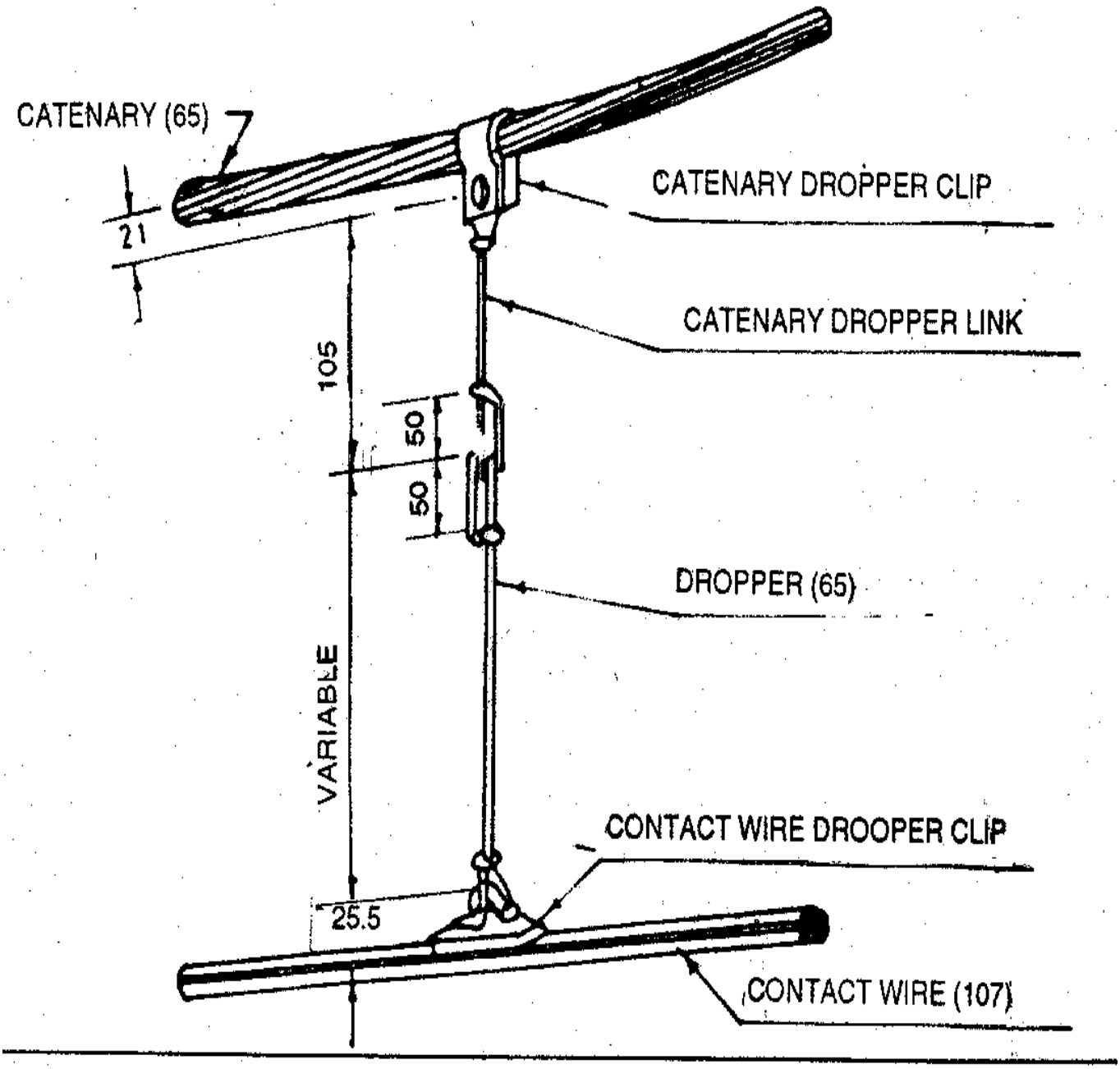
STANDARD/LARGE BRACKET ASSEMBLY

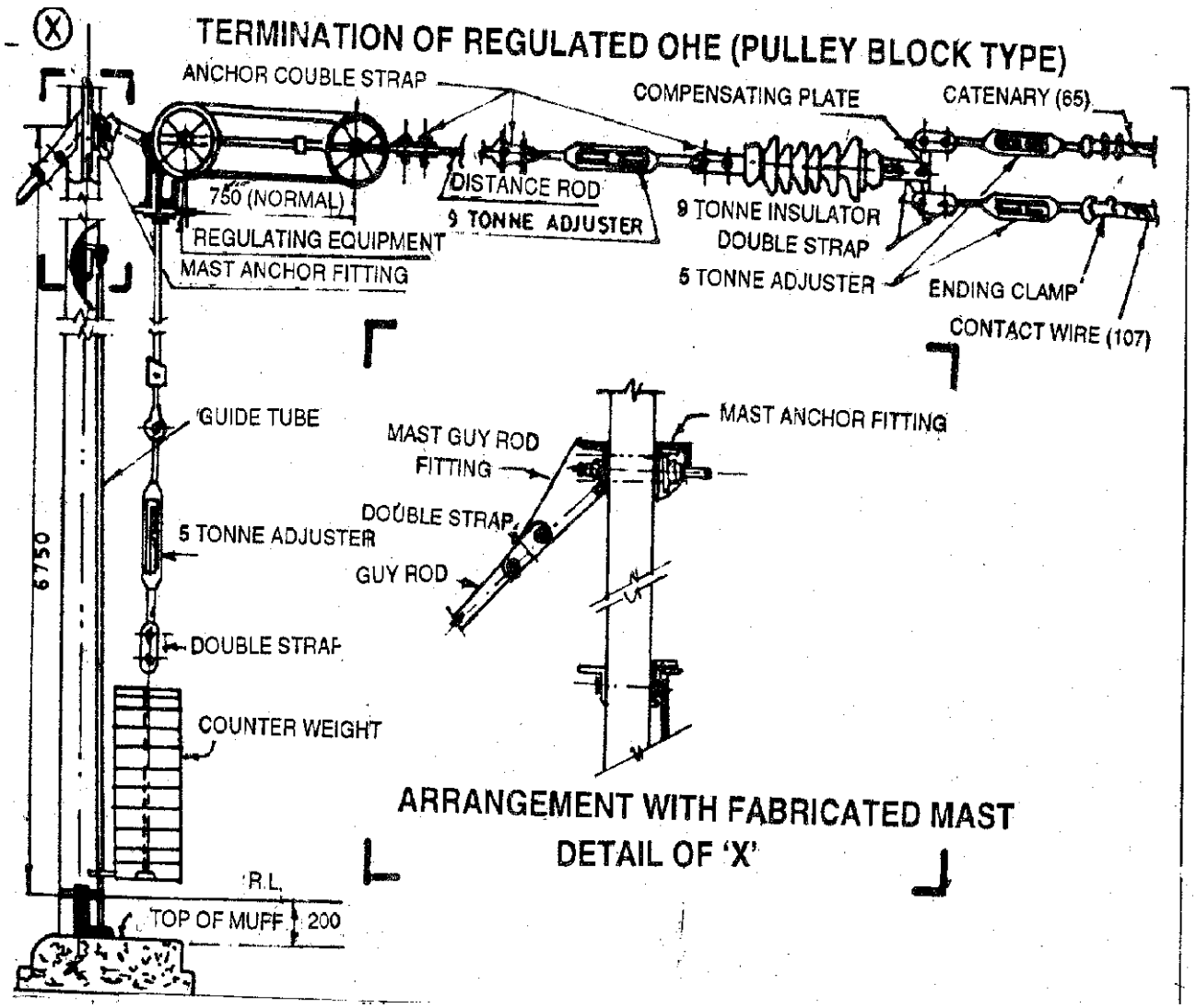


STANDARD BRACKET TUBE (Ø 30/38mm)		
REF NO.	LENGTH OF TUBE 'ℓ' IN METRES	ASSEMBLED LENGTH 'L' IN METRES
1	1.55	1.965
2	1.75	2.165
3	2.00	2.415
4	2.25	2.665
5	2.50	2.915
6	2.60	3.015
7	2.85	3.265
8	3.10	3.515
9	3.35	3.765
10	3.50	3.915
11	3.75	4.165

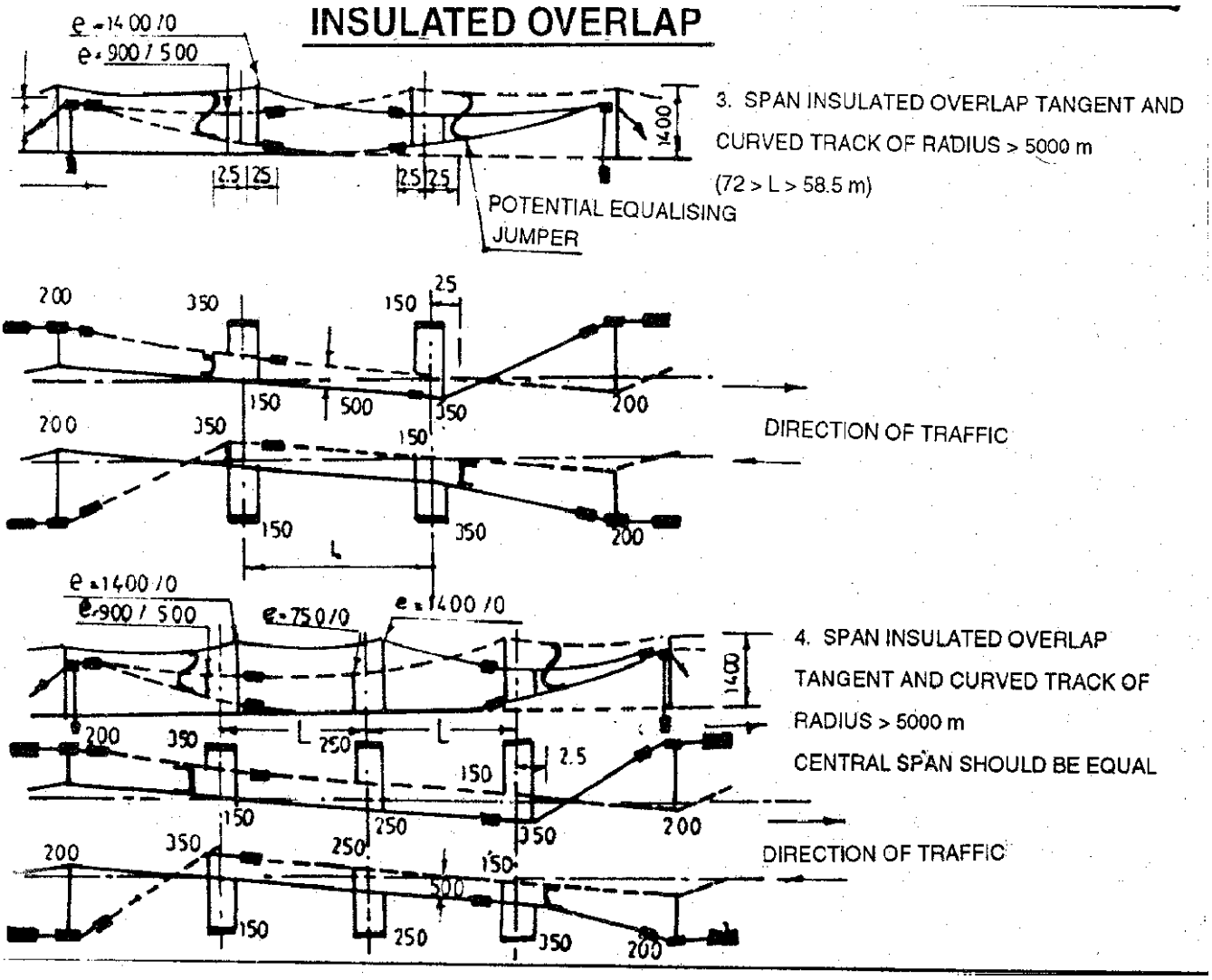
LARGE BRACKET TUBE (Ø 40/49mm)		
REF NO.	LENGTH OF TUBE 'ℓ' IN METRES	ASSEMBLED LENGTH 'L' IN METRES
1	1.50	2.00
2	1.70	2.20
3	1.95	2.45
4	2.20	2.70
5	2.45	2.95
6	2.55	3.05
7	2.80	3.30
8	3.05	3.55
9	3.30	3.80
10	3.50	4.00
11	4.60	5.10

CATENARY DROPPER ASSEMBLY

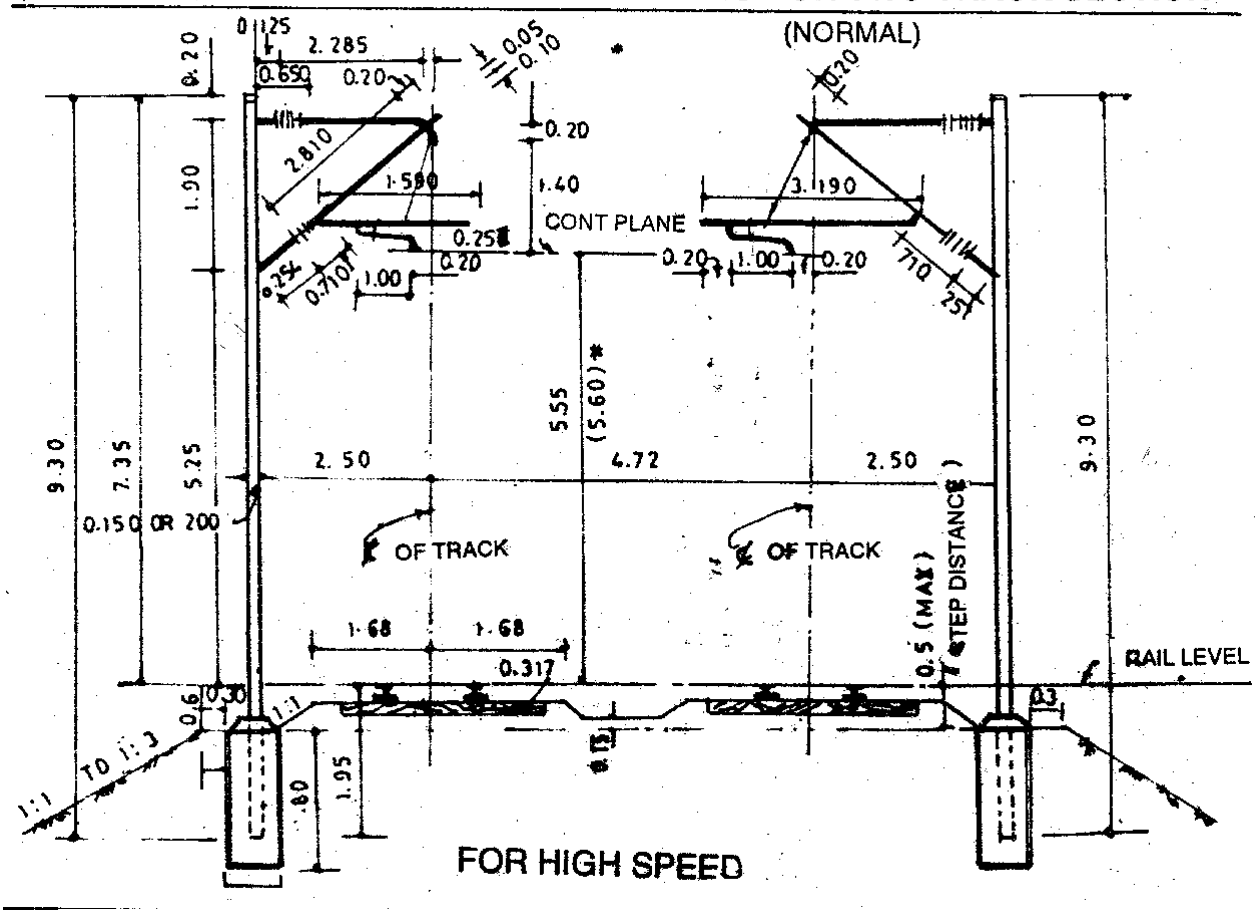


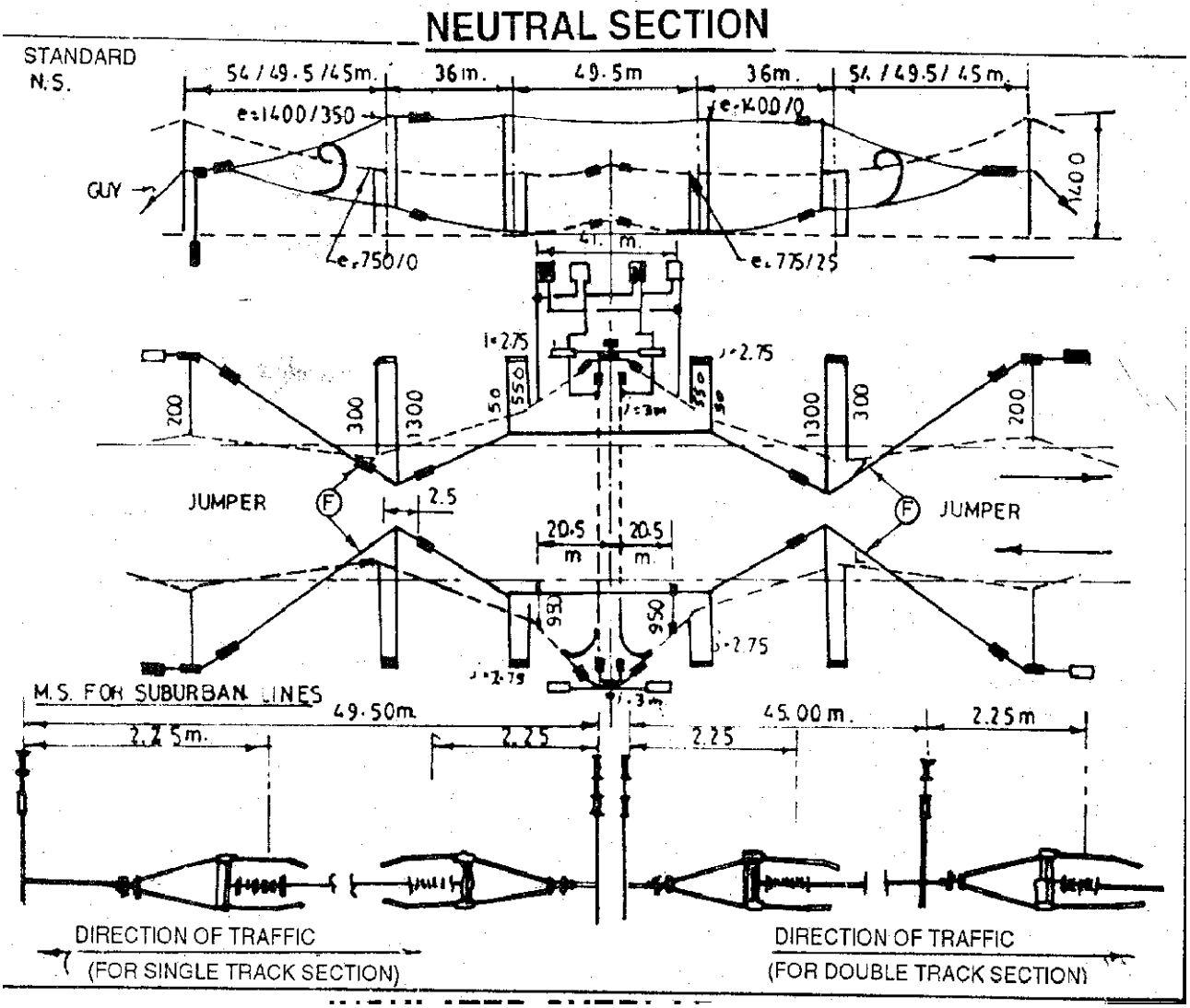

TERMINATION OF REGULATED OHE (PULLEY BLOCK TYPE)
ANCHOR COUBLE STRAP
COMPENSATING PLATE
CATENARY (65)
750 (NORMAL)
DISTANCE ROD
9 TONNE ADJUSTER
9 TONNE INSULATOR
DOUBLE STRAP
REGULATING EQUIPMENT
MAST ANCHOR FITTING
5 TONNE ADJUSTER
ENDING CLAMP
CONTACT WIRE (107)
GUIDE TUBE
MAST GUY ROD
FITTING
MAST ANCHOR FITTING
DOUBLE STRAP
5 TONNE ADJUSTER
GUY ROD
6750
DOUBLE STRAP
COUNTER WEIGHT
R.L.
TOP OF MUFF
200
ARRANGEMENT WITH FABRICATED MAST
DETAIL OF 'X'

INSULATED OVERLAP

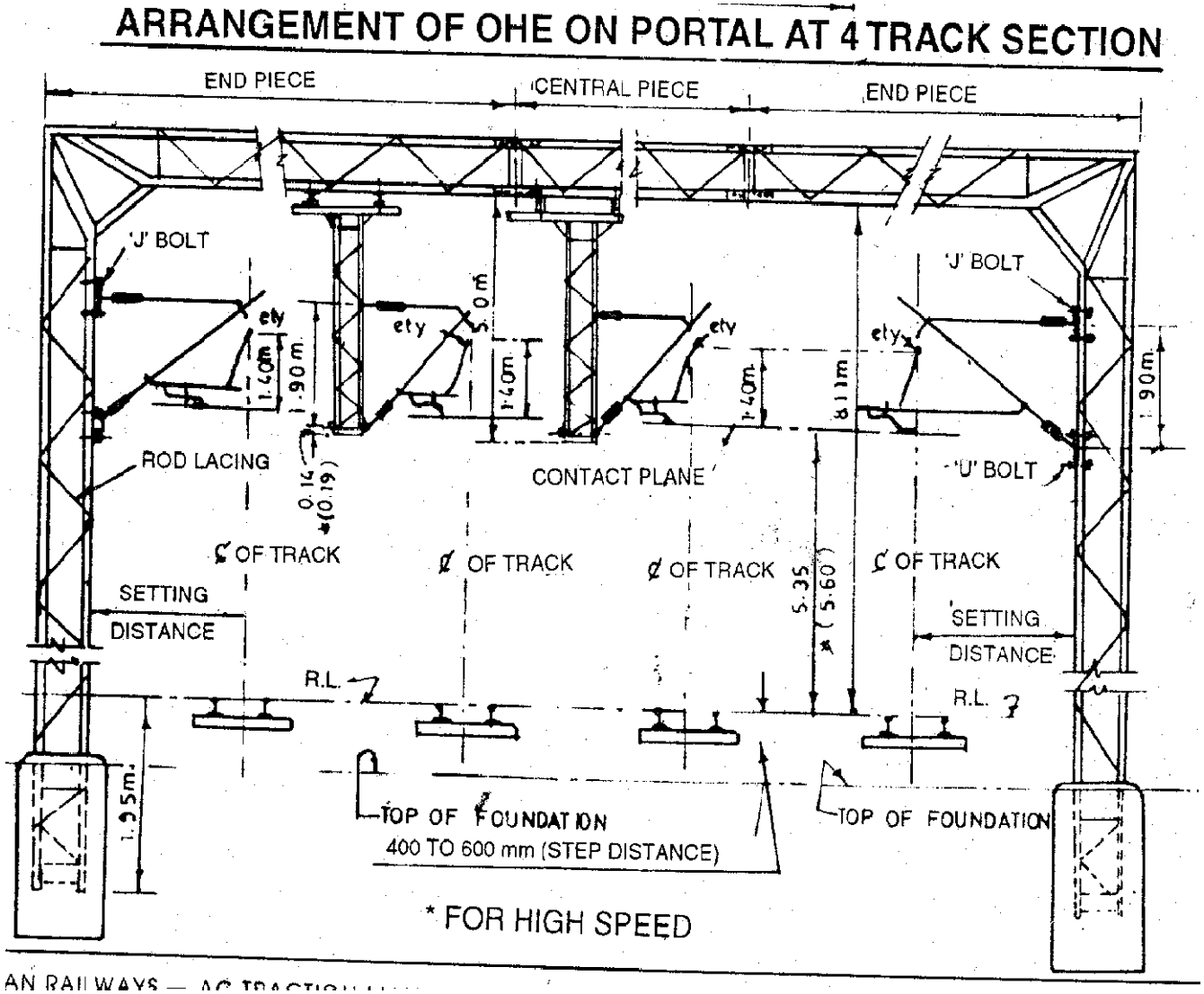


TYPICAL STRUCTURE ERECTION DRAWING FOR TWO TRACK SECTION



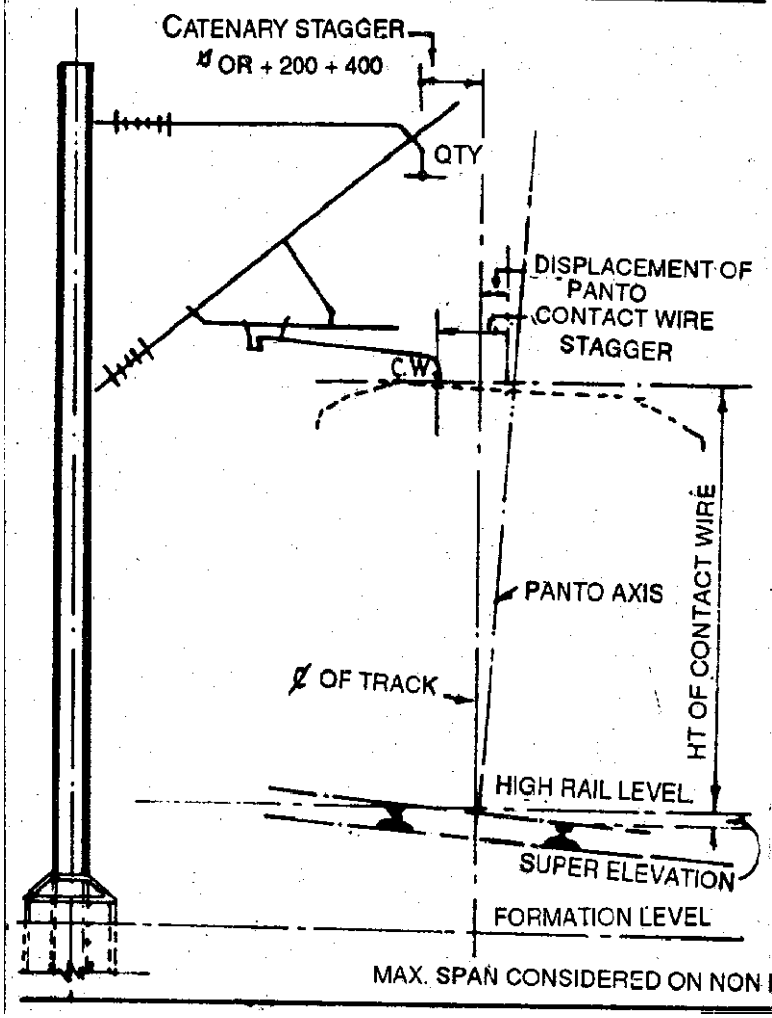

NEUTRAL SECTION
STANDARD N.S.
54/49.5/45m.
36m.
49.5m
36m.
54/49.5/45m.
e=1400/350
e=1400/0
GUY
1400
e=750/0
e=775/25
41. m.
200
300
1300
150
550
1300
300
200
JUMPER
2.5
20.5 m
20.5 m
950
950
JUMPER
M.S. FOR SUBURBAN LINES
49.50m.
45.00 m.
2.25m
2.25m.
2.25
2.25
DIRECTION OF TRAFFIC
(FOR SINGLE TRACK SECTION)
DIRECTION OF TRAFFIC
(FOR DOUBLE TRACK SECTION)

ARRANGEMENT OF OHE ON PORTAL AT 4 TRACK SECTION



AN RAILWAYS — AC TRACTION ...

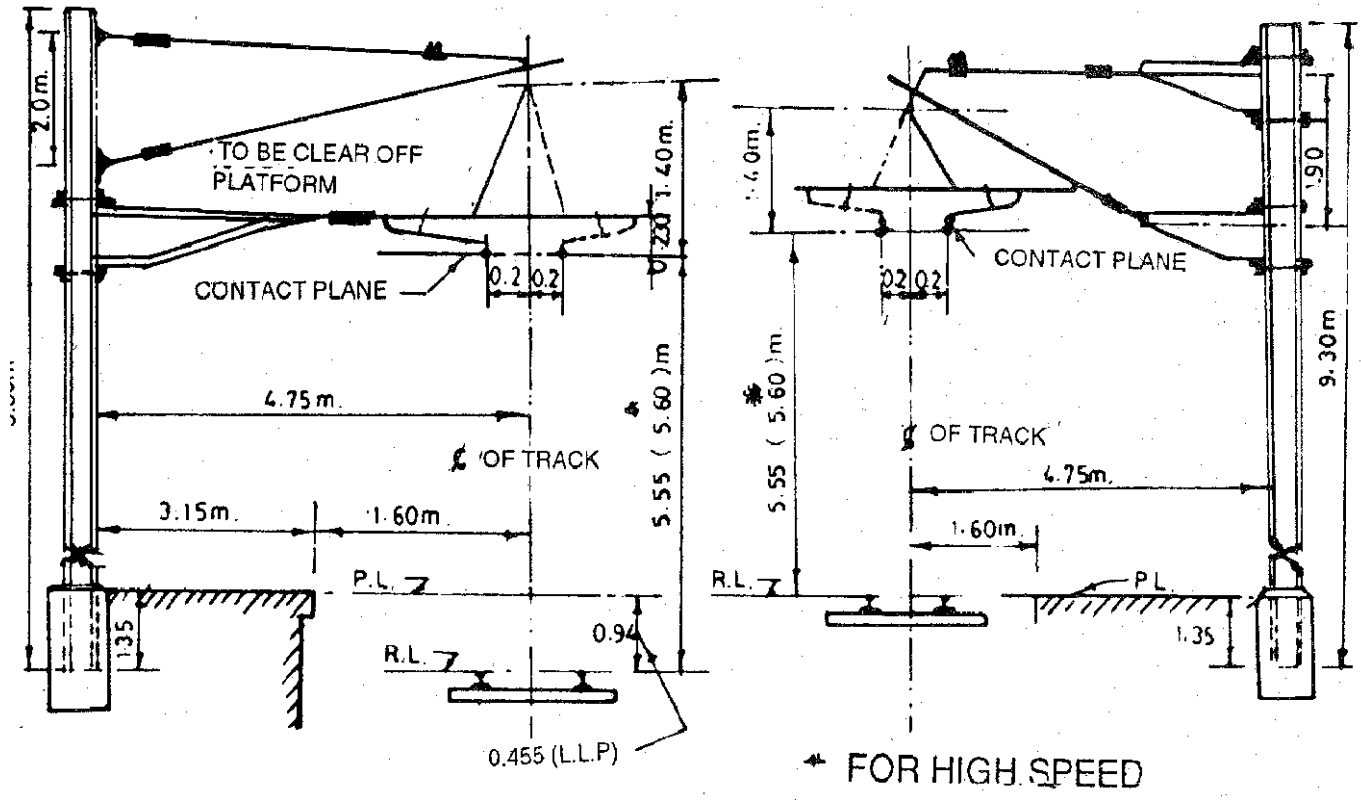
SPAN AND STAGGER CHART



RADIUS OF CURVATURE (METRE)	MAX. SPAN (METRES)		CONTACT WIRE STAGGER AT SUPPORT (mm)	MAX. PERMISSIBLE MID SPAN STAGGER (mm)	
	WIND LOAD (Kg/m²)			WIND LOAD (Kg/m²)	
	112.5	75		112.5	75
α	72"	72	± 200	± 25	± 50
≥ 5000	72x	72	± 100	± 50	"
≥ 4000	72x	72	± 150	72x50	"
≥ 3000	72x	72	±150/200	± 50	"
≥ 2500	72x	72	±200/250	± 50	"
≥ 2200	72x	72	+250/300	± 50	± 150
≥ 1900	67.5x	67.5	± 300	± 100	± 100
≥ 1600	63x	63	"	± 150	± 150
≥ 1400	58.5x	58.5	"	± 150	± 150
≥ 1150	54x	54	"	± 150	± 150
≥ 850	49.5	59.5	"	± 160	± 160
≥ 700	45	45	"	± 160	± 160
≥ 550	40.5	40.5	"	± 200	± 200
≥ 400	36	36	"	± 200	± 200
≥ 300	31.5	31.5	"	± 200	± 200
≥ 200	27	27	"	± 240	± 240

MAX. SPAN CONSIDERED ON NON MOVEMENT OF ELEC LOCO FOR WP > 75 kgf/m².

ARRANGEMENT OF OHE ON PLATFORM



MAST ON HIGH LEVEL PLATFORM MAST ON RAIL LEVEL PLATFROM

Chapter 5

1	Traction Operation

INTRODUCTION

Electrical (TRO) department has following core functions

1. Provision of Loco pilots and Asst loco pilots for running of all types of trains and monitoring running of trains.

2. Monitoring Electric locomotives in terms of attachment planning as per link, troubleshooting in case of problem,

right direction movement planning for overdue & defective locomotives.

3. General check, trip inspection, safety checks and troubleshooting of locomotives running in the division.

4. Cadre management of Loco pilot category staff including transfer, promotion, training and medical.

5. Complete upkeep and management of running rooms at stations for ensuring proper crew rest.

6. Complete management of working of lobbies at stations including booking of crew, breathanalyser of crew.

7. Monitoring of crew and loco running online by TLC.

MAJOR INSTALLATION

1. RUNNING ROOM AT different locations

2. CREW BOOKING LOBBIES AT different locations

3. TRIP SHED

4. TLC AT CENTRALISED CONTROL

5. CHIEF TRACTION CREW CONTROLLER

Management of Running Room

- Fresh linen should be supplied to each Occupant.
  Improved Hygienic conditions because of high standard of cleaning
  Efficient and better Catering Service.
  Garden should be developed with lighting which gives pleasant atmosphere to running staff
  Auto-change over to Emergency supply should be available whenever supply is interrupted.

Mediation Room should be provided where occupants can practice mediation & Yoga to maintain good health.

We can try for the modern facilities e.g. reading room, mediation room, Refrigerator,washing m/c, Electric Iron, New R.O. Plant, leg massager, Micro wave oven etc.

Reading Room should have regional Newspapers & Magazines.

P&T auto phone and Rly. Auto phone .

Subsidized meal as per Rly.Bd. s policy.

Bedside loc ers should be provided for each crew.

Dust Bin should beprovided in each room.

Magazine & Newspaper stand should beprovided.

Shoe stand should beprovided in each room

Sceneries can be provided in dining hall, reading room, entrance of R/Room, Yoga room, entertainment room & Model room.

Chapter 6

1	Energy Conservation and Environmnet

Indian railways being the lifeline of the nation consumes more than 17 billion units of electricity and 27 Lakh kilolitres of diesel every year. Energy is the second largest expenditure of Indian Railways costing about Rs 30,000/- Crore in a year which is incurred to run more than 1,000 trains in a day carrying 2.5 Crore people and more than 3 MT freight daily.

To improve energy efficiency, officers must strive for better utilization of both traction and non-traction energy.

Indian Railways has to follow laws of the land regarding environment protection. Following are some of them:

1. **The Water (Prevention and Control of Pollution) Act, 1974**
2. **The Water (Prevention and Control of Pollution) Rules, 1975**
3. **The Water (Prevention and Control of Pollution) Cess Act, 1977**
4. **The Water (Prevention and Control of Pollution) Cess Rules, 1978**
5. **The Air (Prevention and Control of Pollution) Act, 1981**
6. **The Air (Prevention and Control of Pollution) Rules, 1982**
7. **The Environment (Protection) Act, 1986**
8. **The Environment (Protection) Rules, 1986**
9. **Hazardous Wastes (Management and Handling) Rules, 1989**
10. **Manufacture, Storage and Import of Hazardous Chemical Rules, 1989**
11. **The Forest (Conservation) Act, 1980**
12. **The Forest (Conservation) Rules, 1981**
13. **The Wildlife (Protection) Licensing (Additional Matters for Consideration) Rules, 1983**
14. **The Wildlife (Protection) Rules, 1995**

15. The Wildlife (Specified Plants - Conditions for Possession by Licensee) Rules, 1995
16. The Public Liability Insurance Act, 1991
17. The Public Liability Insurance Rules, 1991
18. The National Environment Tribunal Act, 1995
19. The National Environment Appellate Authority Act, 1997
20. The Biomedical waste (Management and Handling) Rules 1998
21. The Environment (Siting for Industrial Projects) Rules, 1999
22. The Municipal Solid Wastes (Management and Handling) Rules, 2000
23. The Ozone Depleting Substances (Regulation and Control) Rules 2000.
24. The Batteries (Management and Handling) Rules, 2001
25. The Noise Pollution (Regulation and Control) (Amendment) Rules 2002

SIGNAL & TELECOM

Introduction and History of Railway Signalling

1.1 Introduction: - Signalling may be defined as methods and means adopted to control the movement of trains. The purpose of signalling is threefold.

(1) To ensure safety in train operations.

(2) To improve efficiency of working.

(3) To increase throughput/line capacity of a section.

1.2 Necessity of Signalling: - The necessity of signalling arises mainly because of the flexibility to go around the obstruction not being available in case of trains as compared with the road vehicles. The vehicles are always guided by the rails and the only way to avoid accidents in case of trains is to stop the train short of an obstruction. Hence it becomes necessary to pass on information from track to the train. The information is communicated to the train driver by means of signals. The signals act as a vital link between the track and the train.

There is yet another important difference between rail traffic and road traffic, which relates to the braking distance. In case of trains since the friction between the steel rail and the steel wheel is very less as compared to the pneumatic tyres and rough road surface, **the braking distance required to stop trains is much longer.** Hence, the information regarding an obstruction on the track must be passed on at a sufficiently longer distance in rear of the obstruction to enable the train to be stopped short of the obstruction.

Development of Signalling on Indian Railways

2.1 The first train service was started on Indian Railways in 1853 between Wadi Bunder and Thane, in Mumbai. Even though, semaphore signals were provided at most of the stations, there was no interlocking introduced on Indian Railways.

2.2 Two British Signal Engineers, List and Morse were the first to introduce interlocking in N.W. Railway's 23 stations between Ghaziabad and Peshawar in 1894. They are called 'Fathers of Indian Railway Signalling'.

All other important Company Railways like GIP (Great Indian Peninsular) Railway, BB&CI (Bombay-Baroda Central India) Railway, MSM (Madras-South Maratha) Railway, started introducing interlocking on their important routes.

2.3 There was another important development in 1920. A Signal Engineer of Assam Bengal Railway (present North Frontier Railway) introduced a new system of mechanical signalling called **double wire signalling**, which has many advantages over single wire system which was in use. Many company Railways did not want to adopt this system in spite of many advantages. However, in 1950, the Double wire system became very popular and had to be necessarily used for providing a signalling system known as **'Multiple Aspect Upper Quadrant"** (MAUQ) signals.

2.4 Indian Railways started modernising their signalling system in late 50's. The first modern signalling system called Route Relay Interlocking was introduced for the first time in Indian Railways in 1958. In this system, the operation of a major junction station can be controlled from a single central location, as compared to decentralised mechanical operation from many cabins. Another important landmark in the history of Indian Railway Signalling was the introduction of 'Centralised Traffic Control' (CTC) in North Eastern Railway in 1966 between Gorakhpur Cantonment and Chupra. In this system all the signals located over 175 kms were controlled from Gorakhpur Cantonment. A similar system was introduced in North Frontier Railway between Bongaigaon and Chaunsari in 1968. Both the system were totally imported from U.S.A. An all indigenous CTC was commissioned between Madras Egmore-Tambaram in Southern Railway in 1970. Presently, however, there is no working CTC Installations on Indian Railways.

2.5 Indian Railways introduced for the first time a device called **Axle Counter,** which is used to detect whether a section is occupied or clear, in 1972. This device was imported from West Germany. An indigenous development was taken up by Indian Institute of Technology, Delhi & Research Designs and Standards Organisation, Lucknow along with two Signal Workshops at Byculla of Central Railway, and Podanur of Southern Railway, in 1973 and completed in 1976. Indigenous axle counters are extensively used on Indian Railways.

2.6 The first Auxiliary Warning System (AWS) was installed in Gaya-Mughulsarai and Howrah- Burdwan sections of Eastern Railways in 1972. However due to large scale thefts of track equipments, the effectiveness of the system could not be evaluated. However, AWS was introduced in the busiest suburban section of Western Railway i.e. between Churchgate-Virar in 1987. This equipment is working quite satisfactorily.
The latest development in signalling is the introduction of computers in interlocking called Electronic Interlocking' (EI). The first EI was commissioned at Srirangam station (near Trichy Junction) in Southern Railway in 1970. Presently most of the Divisions have EI installed at Various Stations.

Another, modern Signalling achievement on Indian Railways has been the commissioning of the Train Management System on Churchgate Virar section of Mumbai Suburban Section. This project, commissioned in 2003, provides live train movements of the entire 60 KM Churchgate Virar Section in the Control Centre at Mumbai Central. Train Timings are automatically logged. Announcements at stations are triggered automatically from the central servers. “Countdown in Minutes” keeps the commuters informed about train arrivals at stations…*in how many minutes the trains shall arrive at the platform.*

Mobile communication has also been provided between Control Centre and the Suburban trains. Train Management System (TMS) is the first modern Project of its kind on Indian Railways.

Requirements of Signalling and important definitions from General Rules.

3.1 Requirements of Railway Signalling: - Railway Signalling acts as a vital communication link between the track and the moving train, and therefore has to meet the following important requirements: Fail Safe; Reliability; Simplicity & Unambiguity.

3.1.1 **Fail Safe**: All signalling systems, equipment and components have to be fail safe. Failure of any signalling equipment or component should either result in signal displaying its most restrictive information i.e. danger or impose a restriction on the movement of trains. This is a very vital requirement and hence the use of electronic components and computers, which are inherently not fail safe, was delayed by 20 years till the successful development of failsafe designs with these devices.

3.1.2 **Reliability** : Reliability of signalling equipment is a very important requirement like any other mechanical or electrical equipment. In one of the busiest suburban sections of the Indian Railways, Mumbai Suburban Section, more than 2000 trains are running every day because of advanced signalling systems. If the reliability of the signalling is not of very high order, this would cause a serious repercussion on rail operations.

Further, signalling equipments eliminate the dependence on human element to a great extent in train operation. However, in case a signalling equipment or device fails, the safety is dependent entirely on human element and if the staff in charge of train operations, do not exercise proper vigil, there is possibility of occurrence of a serious accident.

3.1.3 **Simplicity** :- The signalling systems/equipment are installed by signal staff and operated by non -technical staff belonging to operating department. Hence, the operation of these equipment should be simple to be understood by such staff.

3.1.4 **Unambiguity** :- Safety of trains depends on the information conveyed by a signal. Hence the information conveyed by a particular aspect of a signal should be same everywhere at all times…with no ambiguity whatsoever. Under no circumstances, should the drivers be required to interpret the information conveyed by a signal on their own.

SIGNALS

4. Aspect of a Signal : - The physical appearance of a signal as seen by a driver is called the 'aspect of a signal'. The aspect may be a position of the arm (0 degree, 45 or 90 degrees) of a semaphore signal during day time or colour of the roundel (red, yellow or green during night time) or colour of a lens in case of colour light signals, both during day and night.

4.1 Indication :- The information the aspect of signal conveys is called the indication. Two types of signals called 'stop signals' and 'permissive signals' are used on Indian

Railways. Stop signals can have a maximum of 4 Aspects and Permissive signals 3 Aspects. The various names of aspects and indications of a Stop and Permissive Signals are given below :-

Name of the Aspect	Indication	
	Stop Signal	Permissive Signal
STOP : RED	STOP DEAD	NOT APPLICABLE
CAUTION : YELLOW	BE PREPARED TO STOP AT NEXT SIGNAL	BE PREPARED TO STOP AT NEXT SIGNAL
ATTENTION : DOUBLE YELLOW	BE PREPARED TO PASS NEXT SIGNAL AT RESTRICTED SPEED	BE PREPARED TO PASS NEXT SIGNAL AT RESTRICTED SPEED
PROCEED : GREEN	PROCEED	PROCEED

Types of Signals :-

1. Fixed Signals
2. Hand Signals
3. Detonator Signals
4. Flashing Hand Signal Lamp or Flag

Fixed Signals :-

1. Running Signals
2. Subsidiary Signals

Running Signals

a. Stop Signals

b. Permissive Signals

a. **Stop Signals**

	LQ	MAUQ / MACLS
Reception	Outer (FSS), Home	Home (FSS)
Despatch	Starter, Advanced Starter	Starter, Advanced Starter

b. **Permissive Signals** Warner ; Distant

Subsidiary Signal

1. Calling on Signals
2. Shunt Signals
3. Repeating Signals
4. Starter Indicator

TRACK CIRCUITS

5.1 Interlocking is one of the vital safety features provided in signalling to ensure that a route is properly set before a signal can be cleared. Interlocking, however, does not ensure that the route, on which the train is to be received, is clear of vehicles. This aspect has to be verified by Operating staff. In signalling whenever we depend on human element, we involve at least two agencies, if not more, to verify the safety aspects. In spite of associating more than two persons, large number of accidents had occurred in India and abroad due to the reception of a train on an occupied line. It is very essential to eliminate the human element from this important and vital check by providing suitable safety arrangement. Such an arrangement is called 'Track Circuits'.

5.2 Track circuit was first invented in the year 1872 in U.S.A. by William Robinson. Since this arrangement was very simple, nobody would have thought that the track

circuit would make such an impact on signalling**. Track circuit has become one of the most important safety devices in Railway signalling and has become an essential and integral part of modern signalling systems.**

5.3 The principle of track circuit is quite simple. The presence of a vehicle in a particular section is checked by passing an electric current through the rail from one end. If the current reaches the other end, then the track is clear. If any vehicle remains in the section, the wheels and axles of the vehicle will short circuit the current and prevent it from reaching the other end. Since the current is passed through the rails and rails form an electrical circuit, this arrangement is called 'Track Circuits'.

5.4 The track circuit consists of the following components:-

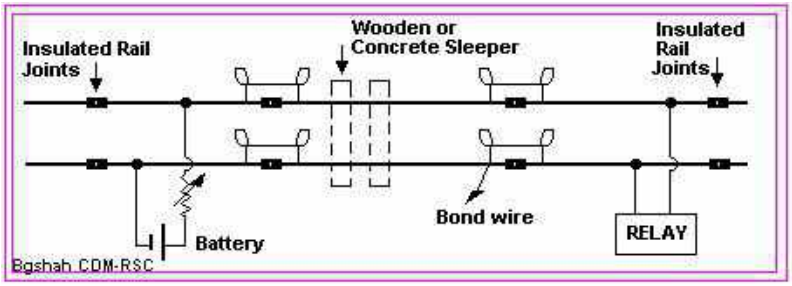
1) To ensure that the flow of current is restricted to a particular section, insulated joints are provided at both ends of the section. The insulated joints consists of insulating material made of Nylon 66, which prevents the flow of current between rail to rail, fish bolt to rail, fish bolt to fish plate and fish plate to rail of the adjacent rail joints. Glued Joints are commonly used in place of Nylon type Joints.

2) Short length Rails are provided in most of the stations and they are joined together by fish plates. The fish plates do not provide reliable electrical connection and hence they are bridged by two mild steel wires to get good a electrical connection. These wires are called bond wires.

3) The current is passed by means of battery (4V) at one end and current is regulated by a resistance. The current at the other end is sensed by a device called Relay. This is an electromagnetic device, the relay remain energized when track is clear due to the current flowing through the relay. But when a vehicle occupies a track circuit, most of the current is diverted through the wheel and axle of the vehicle and very little current flows through the relay. Hence the relay will be de-energized. It is possible to control the signal as well as indicate the occupancy of a track through the relay contacts. A red indication is given when the track is clear. Since normally the track is clear, the relay remains in the energized position. The relay used in track circuits is of a special design compared to the conventional electrical relay. A conventional relay works with a current or no current. But a relay used in track circuit has to sense a drop in current. Since we cannot positively say that the current through the relay will be reduced to zero value when a wheel and axle occupies a track circuit, when the current through the relay reduces to 32% of the normal current, the relay should get de-energized. Such relays are called relays with high percentage release.

6) The sleepers used in the track circuits should be of an insulating type and are mostly concrete sleepers. Cast iron or steel sleepers are not be used in track circuited section as they would directly short circuit the rails.

5.5 The arrangement of a track circuit is shown in the following sketch:-



5.6.1 Requirement of track circuits - There are two very important requirements of track circuits - one concerning the safety aspect and the other concerning the reliability. The ideal condition of a wheel and axle occupying track circuit is causing a dead short circuit across the rails. Normally, the resistance offered by wheel and axle

of a train is about Zero 0hms. However, it is very essential to provide some factor of safety. Hence track circuits are designed in such a way that even when wheel and axle offers a resistance of 0.5 0hms, the relay would be able to sense it. **This resistance of 0.5 0hms is called Train Shunt Resistance.** Indian Railways is one the few world Railways who have adopted such a high train shunt resistance.

5.6.2 Sometimes a track circuit will show as occupied though the track is clear. This is due to the continuous leakage of current through the ballast especially under wet and poor drainage conditions. This affects the reliability of a track circuit. **It is stipulated in Signal Engineering Manual that the ballast resistance should not be less than 2 ohms/km in station section and 4 ohms/km in block sections.**

5.7 Applications of Track Circuits

(i) To prove the track occupancy: the main application is to prove that a particular section is clear of vehicles. The track circuits in a station are normally for following reasons.

(ii) Automatic Replacement of a signal :- A small track circuit of 3 rails length (60 m) is provided ahead of Last Stop Signal (LSS) so that as soon as the train occupies this track circuits, the LSS signal is replaced to On. This small track circuit is called FVT (First Vehicle Track). This arrangement is required to ensure that only one train can enter the block section with the clearing of Last Stop Signal.

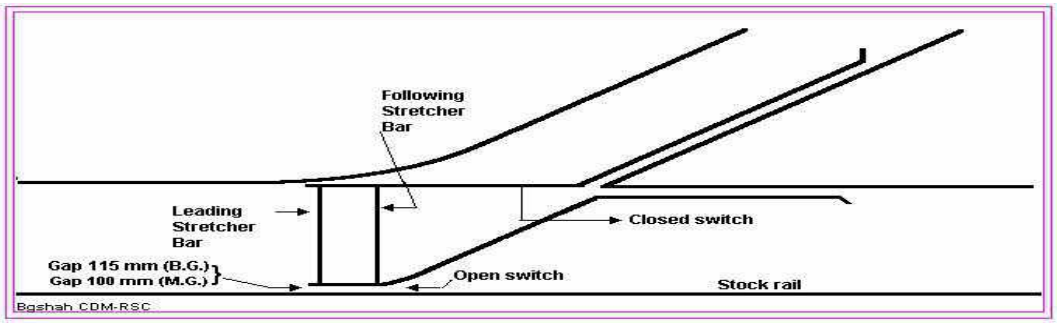
(iii) To indicate clearance of block overlap :-A small track circuit of 3 rails length (60 m) is provided at the block overlap limit from First Stop Signal. When the train occupies and clears this track circuit, an indication is given in ASM's Office to inform the arrival of a train. The ASM/SM must ensure complete arrival of the train by checking the tail lamp/LV Board. This small track circuit is called Last Vehicle Track.

(iv) Route Holding - Wherever electrical operation of point is provided, track circuits are used to hold the route. The track circuits will be provided over the point portion. When the first point is occupied, it will not be possible to operate the point.

(v) Fouling Protection - Track circuits are also provided over point portion with mechanically operated points and lock bar to ensure that the fouling mark is clear. This will help to prevent side collision of two trains, whenever there is an infringement of fouling mark.

POINTS

6.1 Points are the most important equipment provided to change the path of a train from one line to another. Points are classified as facing or trailing. Point assembly consists of two fixed rails called stock rails and two movable rails called switch rails. These two switch rails are kept in position by two stretcher bars, leading and following stretcher bars. At any time, one of the switch rails should be housed with stock rails and there should be sufficient gap between the other switch rail and stock rail. The switch rail, which is housed with the stock rail, is called closed switch. The switch which has a gap is called open switch. The point assembly is shown in the following sketch.



6.2 There are some safety considerations to be fulfilled in the operation of a point especially facing point. The considerations are -

i) A suitable means to set the point to one of the two positions.

ii) A lock to prevent the movement of the switches due to the vibration of train.

iii) To prevent the operation of point when it is occupied by a vehicle.

iv) Means to ensure that closed switch is housed and locked properly.

6.3 Setting - A point is said to be set:-

i) when the gap between open switch and stock rail is less than 5 mm and

ii) When the gap between open switch and stock rail is 115 mm in case of BG. and 100 mm in case of MG.

BLOCK INSTRUMENTS

7.1 The trains are run with space interval systems, maintaining definite distance between two trains. The equipments provided at stations for ensuring space interval system of working are called 'Block Instruments'. Each block section has one instrument at either end electrically connected by overhead wires in case of non-electrified section or by underground cable/wireless in case of electrified sections. No trains can enter a block section, even when the block section is clear, unless line clear is taken from the other side. The block section normally remains closed. The working of trains with block instruments can be called 'Closed Block' working.

7.2 Block instruments provided can be classified into two categories viz. (i) Cooperative and (ii) Non-cooperative type. In case of cooperative type, block instruments for doing any operation on the instruments, cooperation from the other side is required. For example, granting line clear for a train or closing a block after the arrival of a train can be done only with the cooperation from the other side. In case of non-cooperative type block instruments, all these operations can be done without the cooperation from other side. All single line token instruments and single line token less instruments (Daido Make and Kyosan make) are cooperative type. All double line block instruments and single line token less instruments with push buttons (Podanur Make) are non-cooperative type.

7.3 Single line token instruments are provided with operating handle having three positions. Normally, operating handle remains in te centre position. The handle is turned to 'Train Coming From or (TCF)' position at the receiving end and 'Train going to' or TGT position at the sending end. When the handle is turned to TGT position, a token comes out, only one token can come with one operation, thus ensuring there can be only one train in a block section. Once a token is taken out, the block instruments are locked in TGT position at the sending end and TCF position at receiving end. The instruments can be normalized only after the token is inserted either at the sending end or at the receiving end, with the cooperation from the other side.

HIGH SPEED RAILWAYS (TRAFFIC OPERATIONS)

High Speed Rail

Outline of presentation

- Definition
- Components of High Speed Rail
- High Speed Rail Benefits
- World Scenario
- Developments in India
- Issues

Source

- http://www.indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,1,304,366,554,1964,1966
- https://uic.org/spip.php?page=recherche&recherche=high+speed
- https://www.nhsrcl.in/feasibility-report
- http://planning.kar.nic.in/docs/SDG/Technology%20Vision%202035.pdf

Technology Vision 2035 - TIFAC

Table I. Number of Passengers Originating

(in millions)

Year	Suburban (All classes)	Non suburban				Grand Total
		Upper class	Second Class		Total Non-suburban	
			Mail/ Exp.#	Ordinary	Total	
1950-51	412	25	52	795	847	872	1,284
1960-61	680	15	96	803	899	914	1,594
1970-71	1,219	16	155	1,041	1,196	1,212	2,431
1980-81	2,000	11	260	1,342	1,602	1,613	3,613
1990-91	2,259	19	357	1,223	1,580	1,599	3,858
2000-01	2,861	40	472	1,460	1,932	1,972	4,833
2010-11	4,061	100	1,046	2,444	3,490	3,590	7,651
2014-15	4,505	138	1,277	2,304	3,580	3,719	8,224
2015-16	4,459	145	1,321	2,182	3,503	3,648	8,107
2016-17	**4,566**	**150**	**1,322**	**2,078**	**3,400**	**3,550**	**8,116**

Also includes Sleeper Class

http://www.indianrailways.gov.in/railwayboard/uploads/directorate/stat_econ/IRSP_2016-17/Year_Book_Eng/5.pdf

What is High Speed Rail?

Definitions

- High Speed train is a train with a much higher average and maximum speed than other trains
- The most common definition of a high speed train is one which has a maximum speed of more than 200 Kmph and an average speed of more than 190 Kmph
- High Speed Rail is a type of Passenger rail transport system that operates at a significantly higher speed than the normal speed of other train

Definitions

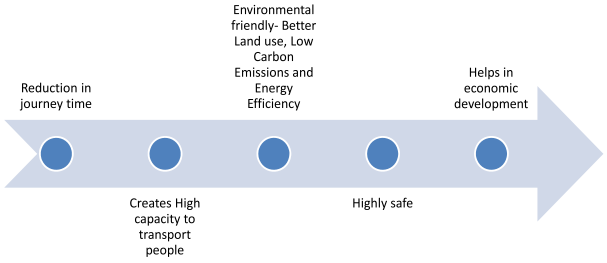
- European Union definition, in directive 96/48,encompasses a number of systems like rolling stock, infrastructure and operating conditions that runs a train at or above 250 kmph on new tracks and 220 kmph on upgraded tracks
- Source -The High Speed definition of the European Union (http://www.uic.org)

Components of High Speed Rail

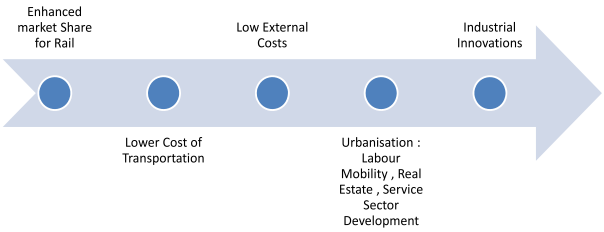
Components Very Critical for High Speed Rail System

- Infrastructure
- Station Location and Development
- Rolling Stock
- Operating Systems
- Marketing
- Maintenance Practices
- Financing Model
- Management
- Legal Issues

High Speed Rail Benefits

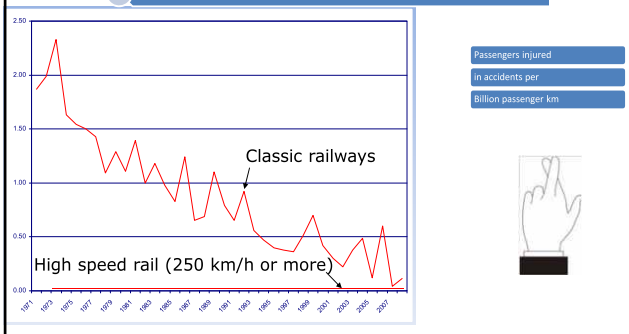


High Speed Rail Benefits

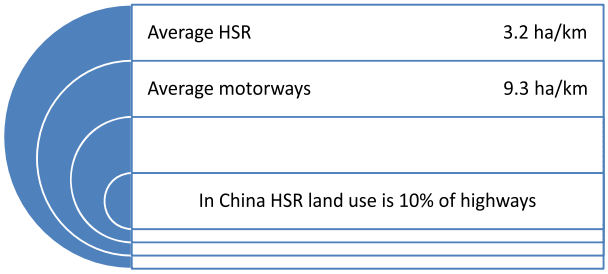


Safety Performance

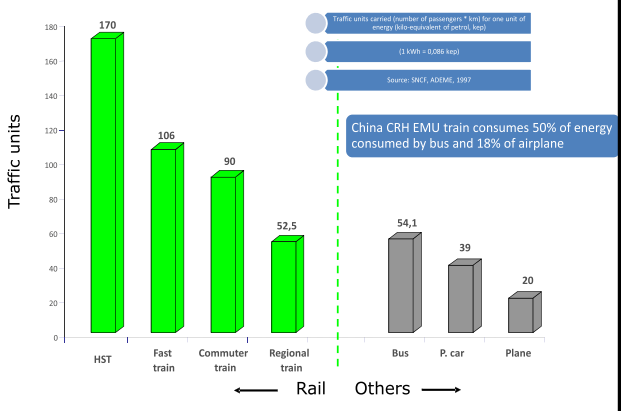
- No fatal accidents in 50 plus years of high speed history in Japan
- Safety evolution in European railways



Land occupancy



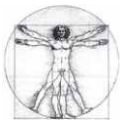
Energy efficiency comparison



Comparison of Carbon Emissions

Magnitude of CO_2 emissions per person (in a 600 km trip):

- 80 kg if travelling by plane (the weight of the passenger)



- 13 kg if travelling by high speed train (the weight of his/her suitcase)



HSR Drives Urbanisation

Chinese Experience

- HSR covers 93% of capital cities of provinces and 80% of the cities with population of 500,000
- Enhanced mobility of work force with time savings: On Wuhan-Guangzhou the time saving benefits is RMB 7.2 billion per year
- Reduced Cost of transportation : Average drop in highway passenger transport ticket fares is 30% on many routes
- Real estate Development : In Tianjin commercial value increased by 16% and retail sales by 20%

High Speed Rail Versus Air

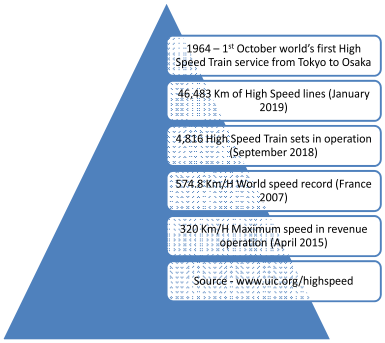
- Rail travel time is less than 2h, HSR completely dominates the market-Paris-Brussels route
- Rail travel time is between 2h and 3h30 minutes, rail is the dominant mode
- Rail travel time is between 3h30 and 5h, air is the dominant mode
- Rail travel time is more than 5h, rail becomes a marginal actor compared to air

Modal Market Share before and after HSR

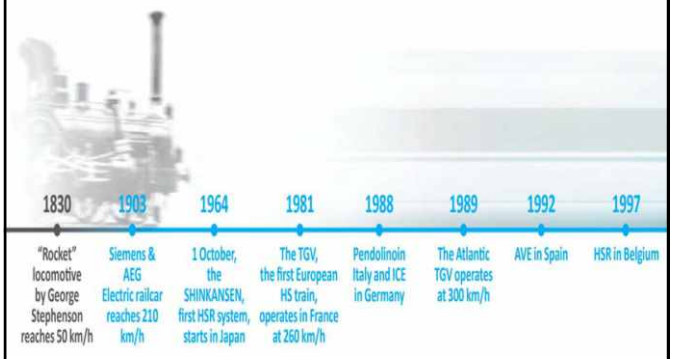
Sector	Mode	% before HSR	% after HSR
Paris -Lyon	Road	29	21
	Rail	40	3
	HSR	0	70
	Air	31	6
Madrid -Seville	Road	44	30
	Rail	16	1
	HSR	0	61
	Air	40	8
Hamburg-Frankfurt	Road	57	45
	Rail	23	3
	HSR	0	48
	Air	10	4

Source: Adapted from Gallois and Lopez Pita et al (2005-06)

High Speed Rail – World Scenario

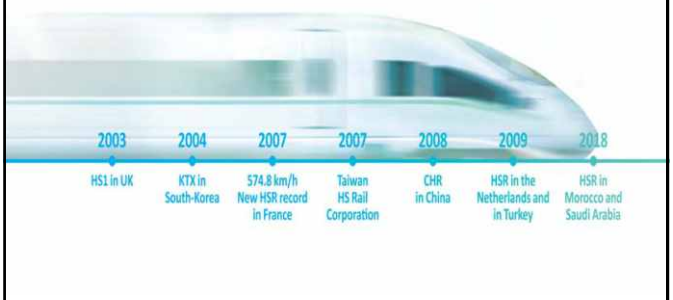


High Speed Rail – 19th & 20th Century



Source-uic-high-speed-2018.pdf

High Speed Rail – 21st Century



Source-uic-high-speed-2018.pdf

High Speed Rail Lines

Total World Km

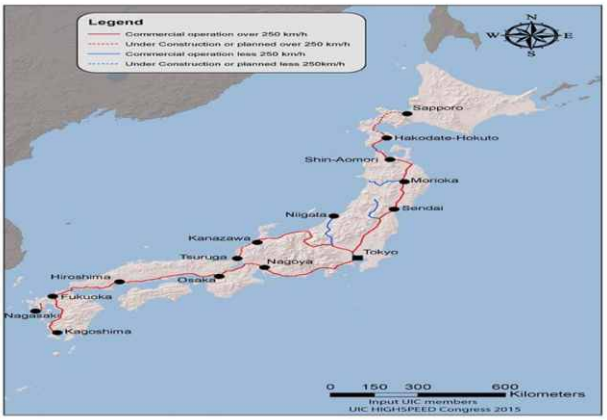
- In operation = 46,483
- Under construction = 11,438
- Planned = 11,223
- Long-term planned = 29,763
- Total of World = 98,907

- Up to 14th January 2019
- Source : https://uic.org/IMG/pdf/20190114_high_speed_lines_in_the_world.pdf

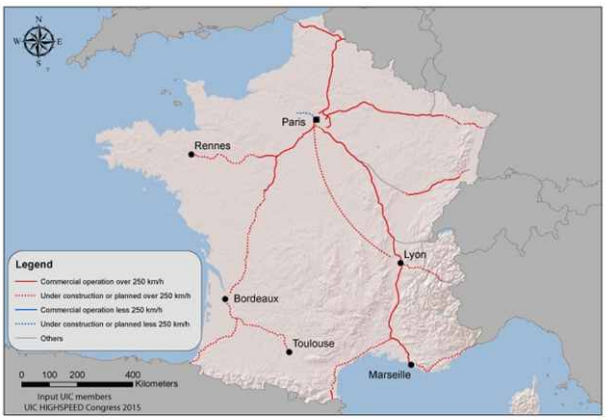
High Speed Rail - China



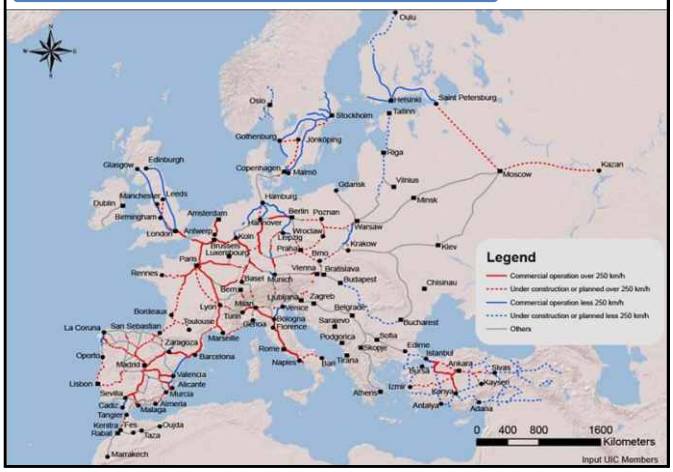
High Speed Rail - Japan



High Speed Rail - France



High Speed Rail - Europe



World High Speed Railway

Country	Year, the first operation	Maximum speed (km/h) (at the time of the first operation)	Maximum speed (km/h) (up to now)	Total Length (km)	Track gauge (mm)
Japan	1964	210	320	2388	**1435**
France	1981	260	320	2036	**1435**
Italy	1988	250	300	923	**1435**
Germany	1991	250	300	1334	**1435**
Spain	1992	250	300	2515	**1435**
Belgium	1997	300	300	209	**1435**
United Kingdom	2003	300	300	113	**1435**
South Korea	2004	300	300	412	**1435**
Taiwan	2007	300	300	345	**1435**
Switzerland	2007	250	250	35	**1435**
China	2008	350	350	9867	**1435**
Turkey	2009	250	250	444	**1435**
The Netherlands	2009	300	300	120	**1435**
Austria	2012	230	250	93	**1435**
Russia	2009	250	250	650	1520

Total HSR in operation in 2013-21,472 km., 2015-29,792 Km By 2025 HSR network will exceed 51,000 km world over.

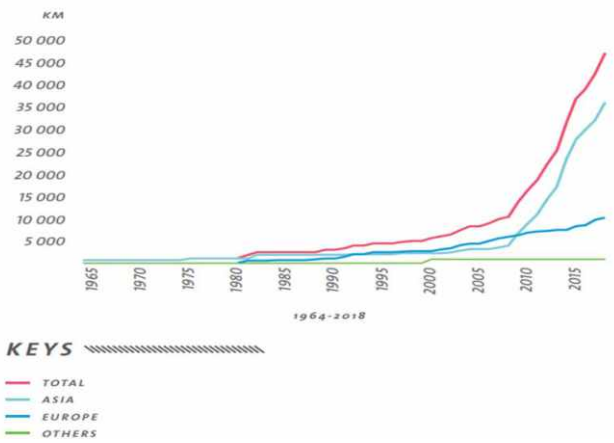
Source; UIC, Study Team

HIGH SPEED LINES IN THE WORLD (Summary)

Updated 14th January 2019

Area	Country	Distance(km) 1. In operation	2. Under construction	3. Planned	4. Long-term planning	Total
ASIA	BAHRAIN and QATAR				180	180
ASIA	CHINA (mostly dedicated lines / HSL)	31,043	7,207	1,258	217	39,775
ASIA	INDIA	-	-	508	4,126	4,634
ASIA	INDONESIA	-	-	712	-	712
ASIA	IRAN	-	787	926	1,093	2,806
ASIA	ISRAEL	-	-	85	-	85
ASIA	JAPAN (SHINKANSEN SYSTEM)	3,041	402	194	-	3,637
ASIA	KAZAKHSTAN	-	-	-	1,011	1,011
ASIA	MALAYSIA and SINGAPORE	-	-	-	350	350
ASIA	SAUDI ARABIA	453	-	-	-	453
ASIA	SOUTH KOREA	887	-	49	-	936
ASIA	TAIWAN (CHINA	354	-	-	-	354
ASIA	THAILAND	-	-	615	2,262	2,877
ASIA	TURKEY	594	1,153	2,230	2,855	6,835
ASIA	VIETNAM	-	-	-	1,600	1,600
EUROPE	AUSTRIA	253	281	71	-	515
EUROPE	BELGIUM	209	-	-	-	209
EUROPE	CZECH REPUBLIC	-	-	-	810	810
EUROPE	DENMARK	-	56	-	-	56
EUROPE	ESTONIA, LATVIA, LITHUANIA (Rail Baltica)	-	-	-	870	870
EUROPE	FRANCE	2,814	-	-	1,725	4,539
EUROPE	GERMANY	1,571	147	81	210	2,009
EUROPE	ITALY	896	93	-	152	1,101
EUROPE	NORWAY	-	-	-	333	333
EUROPE	POLAND	224	-	484	598	1,306
EUROPE	PORTUGAL	-	-	-	596	596
EUROPE	RUSSIA	-	-	770	2,208	2,978
EUROPE	SPAIN	2,852	904	1,061	-	4,817
EUROPE	SWEDEN	-	15	-	735	750
EUROPE	SWITZERLAND	144	15	-	-	159
EUROPE	THE NETHERLANDS	90	-	-	-	90
EUROPE	UNITED KINGDOM	113	330	320	-	663
OTHER	AUSTRALIA	-	-	-	1,749	1,749
OTHER	BRAZIL	-	-	-	511	511
OTHER	CANADA	-	-	-	290	290
OTHER	EGYPT	-	-	-	1,210	1,210
OTHER	MEXICO	-	-	-	210	210
OTHER	MOROCCO	200	-	139	975	1,314
OTHER	SOUTH AFRICA	-	-	-	2,390	2,390
OTHER	USA	735	332	1,710	1,409	4,186
	ASIA(17)	36,372	9,549	6,587	13,738	66,246
	EUROPE(19)	9,176	1,697	2,787	8,241	21,901
	OTHER(8)	935	192	1,849	7,784	10,760
	TOTAL(44)	46,483	11,438	11,223	29,763	98,907

High speed rail network length



Source-uic-high-speed-2018.pdf

HIGH SPEED TRAFFIC IN THE WORLD

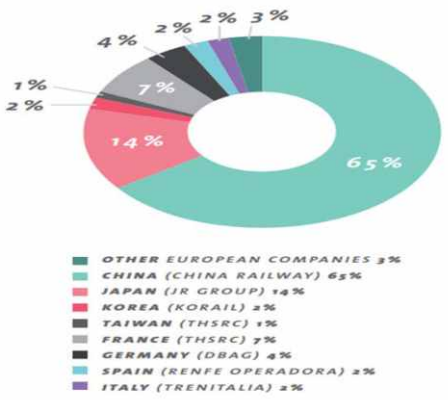
Updated 30th November 2017

passenger-km (billions)

Year	2010	2011	2012	2013	2014	2015	2016
China (China Railway):2016	46.3	105.8	144.6	214.1	282.5	386.3	464.1
Japan (JR group):2016	76.9	79.6	84.2	87.4	89.2	97.4	98.6
Korea (Korail):2016	11.0	13.6	14.1	14.5	14.4	15.1	16.3
Taiwan (Taiwan High Speed Rail Corp.):2016	7.5	8.1	8.6	8.6	8.6	9.7	10.5
France (SNCF):2016	51.9	52.0	51.1	50.8	50.7	50.0	49.1
Germany (DB AG):2016	23.9	23.3	24.8	25.2	24.3	25.3	27.2
Spain (Renfe Operadora):2016	11.7	11.2	11.2	12.7	12.8	14.1	15.1
Italy (Trenitalia):2013	11.6	12.3	12.3	12.8	12.8	12.8	12.8
Other European Companies	7.3	10.5	14.8	15.2	18.2	20.0	22.0
Total	248.2	316.6	365.7	441.3	513.5	630.6	715.7

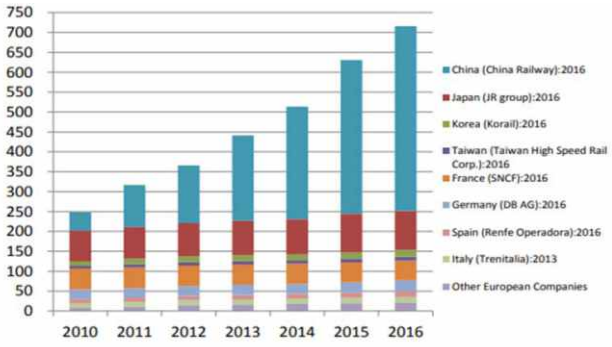
HSR market shares in 2016

(PASSENGERS.KILOMETER)



Source-uic-high-speed-2018.pdf

High Speed - Billion PKM

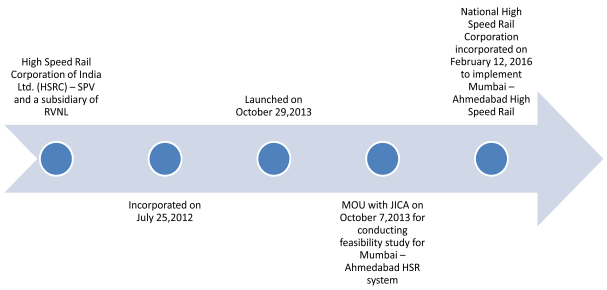


Source: https://uic.org/IMG/pdf/high_speed_passenger-km_20171130_.pdf

High Speed Rail – Evolution in India

Budget	Route	Route length (km)
Railway Budget 2007-08	Delhi-Amritsar	450
	Ahmedabad-Mumbai-Pune	650
	Hyderabad-Vijayawada-Chennai	664
	Chennai-Bangalore-Ernakulam	649
	Howrah-Haldia	135
Railway Budget 2009-10	Delhi–Patna	991
Kerala State Budget 2009-10	Thiruvananthapuram-Kasargod-Mangalore	585
Kerala Government's request to Central Government	Chennai-Bangalore-Ernakulam-Thiruvananthapuram	850
Railway Budget 2012-13	Delhi-Jaipur-Ajmer-Jodhpur	591
Railway Budget 2013-14	Mumbai-Ahmedabad	534
Railway Budget 2014-15	The Diamond Quadrilateral – to connect Delhi, Mumbai, Kolkata and Chennai, and to connect the two diagonals	10,000

High Speed Rail – Evolution in India



CCEA Decision (December 2015)

Salient Features

- Sanction of 508 km Mumbai-Ahmedabad HSR Project at an estimated cost of Rs 97,636 cr.
  - Adoption of Japanese high speed technologies (the Shinkansen system)
  - Prime contractors for selected packages to be Japanese or Japanese led joint venture with Indian Partners
  - Identified goods to be sourced from Japan
  - Loan repayment period of 50 years with 15 years grace and 0.1% interest
  - Transfer of technology for construction and also for manufacture of rolling stock, systems and other components in India to promote 'Make in India'

CCEA Decision (December 2015)

Salient Features

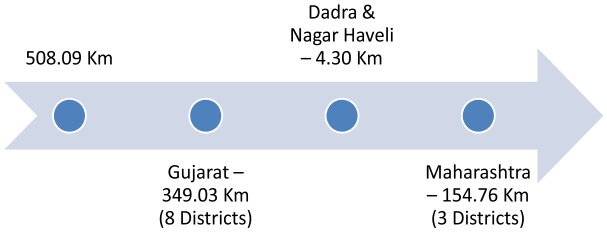
- Setting up a new Special Purpose Vehicle on the lines of DMRC with equity participation from Ministry of Railways (50), State Government of Maharashtra (25) and Gujarat (25) to implement the project
- Setting up of Empowered Committee of Secretary, DEA; Chairman, Railway Board ;and Secretary, DIPP to deal with issues pertaining to project implementation structure

Mumbai-Ahmedabad High Speed Rail Project

Salient Features of JICA Report (July 2015)

- 508 km long Standard gauge with 12 Stations
- Bandra-Kurla complex to be terminal in Mumbai
- 65% on Embankment, 25% on Viaduct ,5.7 % on Tunnel, 2.6% bridge (Now fully elevated)
- Ballast less track
- EMU Aluminium alloy body rail cars
- Cab Signalling
- Project Cost is Rs 97,636 crore
- Construction time -7 years

MAHSR



Land Acquisition

1434.28 Ha – 8878 plots

411.91 Ha – 1915 plots : Forests, Railways, State Government

1022.37 – 6963 plots : Private

Maharashtra – 94 villages

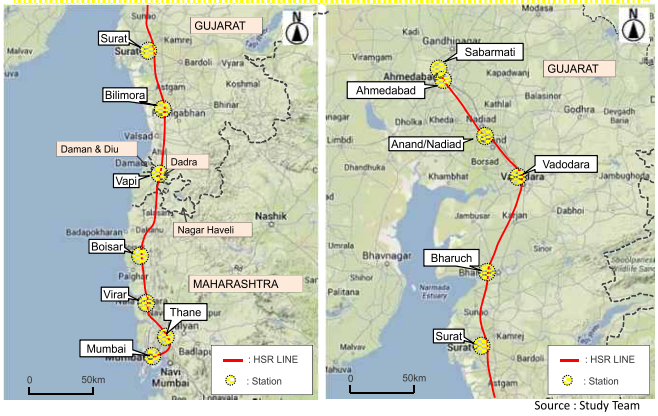
Gujarat – 196 villages

Mumbai-Ahmedabad High Speed Rail Project

Salient Features of JICA Report (July 2015)

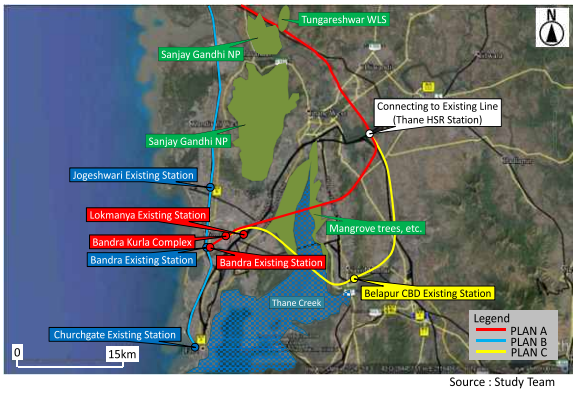
- Design Speeds 350 kmph, Travel Time 2.07 hr for fast service
- Initially 10 car sets with seating of 750-820 seats subsequently 16 car trains (1200 seats)
- 35,800 passengers per day , 70 trains per day (Both ways), in 2023
- 186,000 passengers per day , 210 trains per day (Both ways) in 2053
- Average Fare 1.5 times First AC
- 4% IRR and 11.8% EIRR

12 stations between Mumbai and Sabarmati.



Source : Study Team

Three alternative plans were considered in Mumbai area



Source : Study Team

Mumbai-Ahmedabad High Speed Rail Project- Estimated Cost

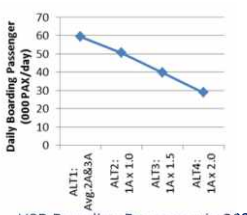
	Item	Breakdown	Amount INR
Construction procurement cost	Civil Engineering cost		**23,429**
	Track construction cost		5708
	Station construction cost		4862
	Power supply and S&T		7357
	Construction building		87
	Depot/workshop & maintenance depot		2258
	Rolling stock		**5255**
	Machine in training center		201
	Inspection & maintenance car		462
	Training cost		256
(1)Construction procurement			**49878**
(2)Consulting service cost			2970
(3)Land acquisition cost			9863
(4)Management cost		(1)+(2)X9.13%	4825
(5)Contingency		(1)+(2)+(3)+(4)X5%	3376
Project cost		(1)+(2)+(3)+(4)+(5) Excluded CD	**70,915**
Total Investment costs			
Customs duty			3782
Capital cost			70915
Price Escalation During Construction			12580
Interest During Construction (IDC)			10359
Total investment costs			**97,636**

Tariff

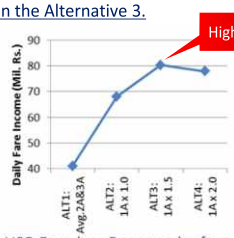
Alternative 1 : HSR fare = Average of Rail(2AC) and Rail (3AC)
Alternative 2 : HSR fare = Rail (1AC)
Alternative 3 : HSR fare = 1.5 x Rail (1AC) – Recommended
Alternative 4 : HSR fare = 2.0 x Rail (1AC)

1A: Train Fare of 1st Class Air Conditioned Coaches in IR
2A: Train Fare of 2nd Class Air Conditioned Coaches in IR
3A: Train Fare of 3rd Class Air Conditioned Coaches in IR

*The highest revenue can be achieved in the Alternative 3.



HSR Boarding Passenger in 2023



HSR Fare-box Revenue by fare level in 2023

Traveling Time

Rapid train will take around 2 hours from Mumbai to Ahmedabad.

Station	Distance (km)	Traveling Time	
		Typical Rapid Train	Each Stop Train
Mumbai	0.0	0:00	0:00
Thane	28.0		0:10
Virar	65.2		0:24
Boisar	104.3		0:39
Vapi	167.9		0:59
Bilimora	216.6		1:15
Surat	264.6	0:58	1:32
Bharuch	323.1		1:52
Vadodara	397.1	1:32	2:14
Anand/Nadad	447.4		2:32
Ahmedabad	500.2	1:59	2:50
Sabarmati	505.8	2:07	2:58

Stopping time Surat, Vadodara and Ahmedabad: 2 minutes Other stations : 1 minute

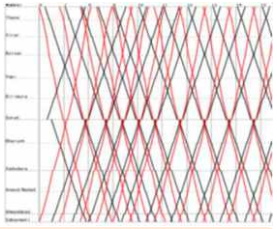
- Stop patterns will depend on demand forecast.
- Additional stops at stations requires approximately 7 minutes more per station.

Source : Study Team

The HSR will have 105 trains per day in 2053 due to high demand.

Train configuration : 10 cars

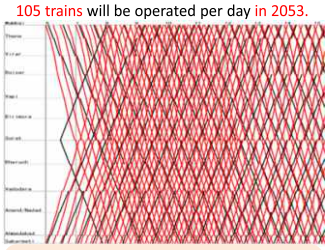
35 trains will be operated per day in 2023.



Number of trains (Frequency)
Peak hour : about 3 trains per hour
Off peak : about 2 trains per hour

Train configuration : 16 cars

105 trains will be operated per day in 2053.



Number of trains (Frequency)
Peak hour : about 8 trains per hour
Off peak : about 6 trains per hour

- Peak hour : about 15 trains per hour in Japan

Source : Study Team

Memorandum of Cooperation:12th December 2015

MAHSR project will be developed with Japanese (Shinkansen) technologies

Financial and technical assistance by relevant Japanese institutions

Close consultations on implementation details including
- Japanese Yen loan
- HRD Plan for O&M and Management
- Establish HSR Training Institute **(by 2020)**
- Training of MOR officials in HSR Operations **(2021-2023)**
- Training of Young Recruited Officers of MOR **(Beginning 2017)**
- Transfer of Technology of construction and manufacturing including rolling stock

Make in India-Rolling Stock , Equipment &machinery

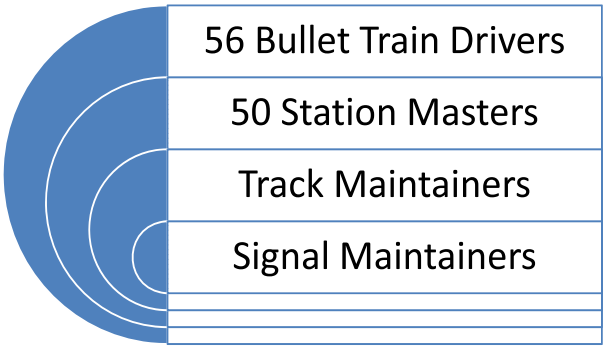
JMC set up to accelerate consultations



Proposed HSR Training Institute

Sourse : https://www.nhsrcl.in/annual_report_files/Eng_2nd_Annual_Report_2017-18_NHSRCL.pdf

Human Resource



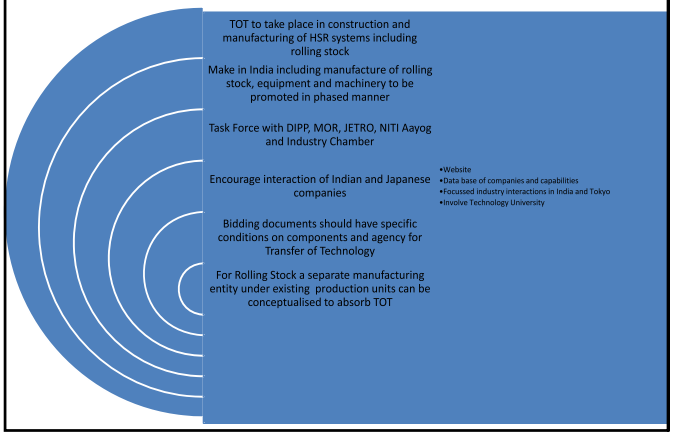
Schedule

- General Consultant to Start Functioning : December 2016
- Ground Breaking : September 2017
- Under Sea Tunnel Construction : Mid 2018
- Other Civil Construction: 2019
- Operation: 2022

Procurement Conditions

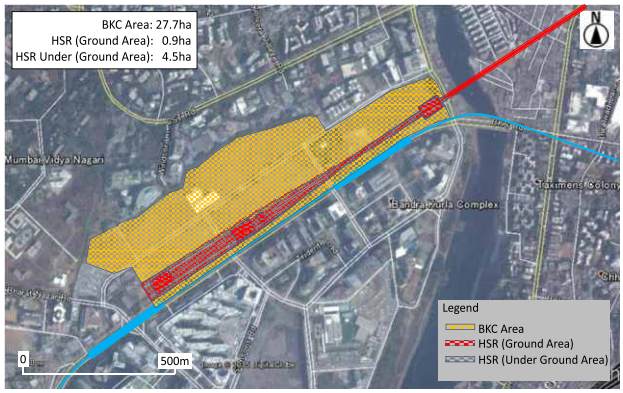
- Consulting services – Prime Contractor will be Japanese company or Japanese-led JV with Indian company
- Main contract – Prime Contractor can be Japanese company, Indian company or JV of Japanese/Indian companies
- For specified contract packages – Prime Contractor will be Japanese company or Japanese-led JV
- Goods to be sourced from Japan-selected items

Enhancing Transfer of Technology

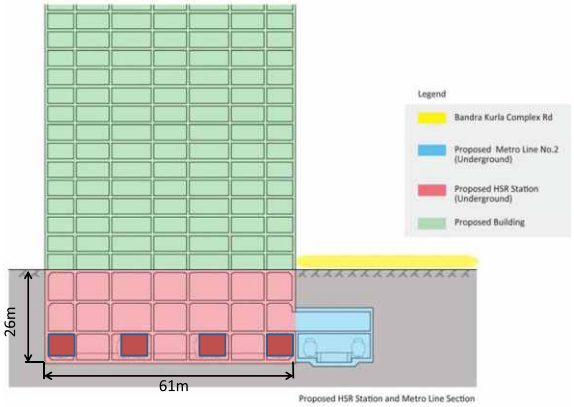


Station Location at Bandra Kurla Complex – Land Required

¢ **Bandra Kurla Complex**



Station Section of Mumbai



Shinjuku South Gate Project

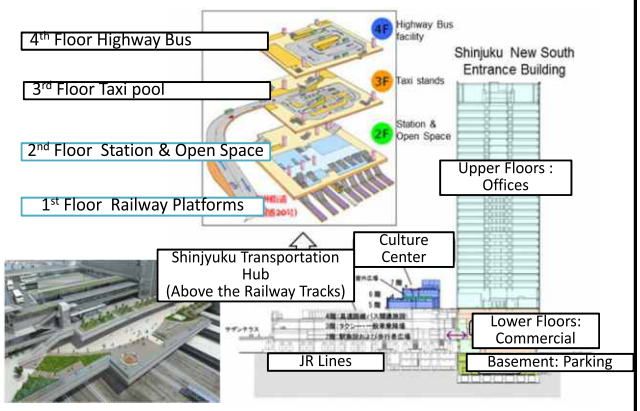
¢ **Transportation hub (Bus terminals, taxi pools, parking, station facilities and a station building) was constructed integrally above the active railway tracks.**

- Offices : 5-32F (77,200m2)
- Retail Facilities : 1-4F (9,400m2)
- Cultural Facilities (3,600m2)
- Transportation Hub Upper 5-7F
- Parking facility (B1F-B2F) 280 Vehicles





Shinjuku South Gate Project
- Transportation Hub + Office & Shopping Building



Issues

- Route Fixation – Origin, Destination and Intermediate stations
- Technology Partners & Standards
- Location Of Stations
- Elevated versus Grade Level versus Underground
- Gauge and Interoperability
- Pricing, Revenues and Funding

Criteria for Mode Selection

The factors determining the selection of the most appropriate rail-based system among the three modes – metro rail, monorail and light rail – include peak hour peak direction traffic (PHPDT), passenger carrying capacity, population, average trip length, construction costs, and area requirement for vehicle travel (ROW)

Metro rail	Monorail	Light rail
PHPDT in 2021: ≥15,000	*PHPDT in 2021:* ≤10,000	*PHPDT in 2021:* ≤10,000
Population: >2 million	*Population:* >2 million	*Population:* >1 million
Average trip length (km): >7-8	*Average trip length (km):* 5-6	*Average trip length (km):* >7-8
Capacity: 1,200-1,500 per train trip (4 coaches), 1,800-2,100 per train trip (6 coaches)	*Capacity:* 568 (4 coaches); 852 (6 coaches)	*Capacity:* 200-250 per train
Vehicle length: 18-26 m per car Typically 4-8 cars	*Vehicle length:* 38-120 m Typically 2-10 cars	*Vehicle length:* 26 m per car Typically 2-4 cars
Vehicle width: 2.6-3.2 m	*Vehicle width:* 2.74-3.05 m	*Vehicle width:* 2.74 m
Construction cost: Rs 2.5-4.5 billion per km	*Construction cost:* Rs 1.5-2 billion	*Construction cost:* Rs 1.5-2.5 billion
ROW dimensions: 7-10 m	*ROW dimensions:* 6.5-9 m	*ROW dimensions:* 7-10 m

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COMMERCIAL

Commercial

Outline

- Commercial Activities
- Areas of Concern
- Performance of IR
- Non Fare Revenue – Definition
- NFR Trends in world
- Scope
- Group Activity

Commercial Functions

- **Marketing of Services**
- **Sale/Delivery of the Products/Services**
  - Collection of accrued dues from Customers
  - Calculate/keep record of the dues to be collected (Accrual)
  - Remittance of collected amount to Bank/Cash office
- **After sale services** (Complaints/Grievances/Refunds/Claims)

Other Commercial Functions

- Catering
- Commercial Advertising and Publicity
- Public Relations
- Carrying out traffic survey for new lines / new traffic etc.
- Naming the stations or change in name of a Station.
- Justification of introducing new trains, new halts.

Other Functions (Contd.)

- Dealing with sidings-charges, agreements etc.
- Clearance of station outstanding
- Liaison with Industries/Customers/stake holders
- Holding meetings with Railway Users-
  - SRUCC – Station Rail Users Consultative Committee
  - DRUCC – Divisional Rail Users Consultative Committee
  - ZRUCC- Zonal Rail Users Consultative Committee
  - NRUCC- National Rail Users Consultative Council
  - Chamber of Commerce

Passenger Business

- Passenger Services
- Booking of Tickets
- Earnings, Concessions (MST, etc.)
- Out agencies, RTSAs, STBS, JTBS, GTBS, YTSK
- Passenger amenities
- Public/Customer grievances/complaints
- Ticket checking
- Refund/Claims compensation
- Marketing

Parcel Business

- Parcel/Luggage Services
- Booking of parcels
- Leasing of SLRs/VPUs
- loading, unloading and delivery of parcels
- Demurrage and wharfage charges
- Managing L.P.O. and Cloak Rooms
- Claims compensation
- Marketing Policies

Freight Business

- Freight/Goods Services
- Booking of commodities
- Stacking/handling facilities
- loading, unloading and delivery of goods
- Demurrage and wharfage charges
- Rating Policies
- Claims compensation (RCT & RRT)
- Marketing Policies

Claims

- Claims due to loss, damage or deterioration of consignments.
- Cases of Accidents & Untoward Incidents
- Speedy settlement of claims
- Analyzing the causes for claims
- Claims Prevention
- Court cases (RCT, HC, SC)
- Consumer Forum Cases

Railway Assets

- Route Length – 67,368 Kms.
- Railway Stations – 7,349
- Locomotives – 11,461
- Passenger Service Vehicles – 64,223
- Other Coaching Vehicles – 6,714
- Wagons – 2,77,987
- Regular Employee – 1,308 Thousands
- Source – IR Year Book -2016-17

Performance – Passenger Business

- Passengers Originating – 8,116 Millions
- Passenger Kms. – 1,149,835 Millions
- Passenger Revenue - 46,280.46 in Crore

- Source – IR Year Book -2016-17

Performance – Freight Business

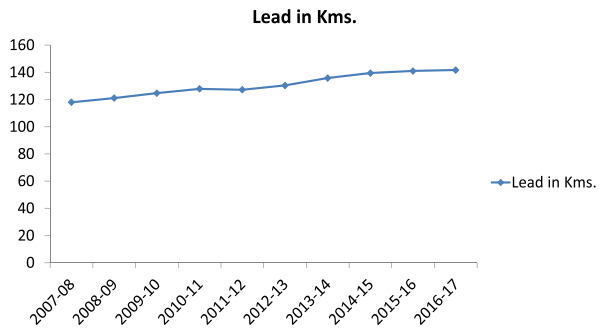
- Tonnes Originating – 1,106.15 Millions
- Net Tonne Kms. – 6,20,858 Millions
- Freight Revenue – 1,02,027.82 in Crore
- Total Revenue – 1,65,292.20 in Crore

- Source – IR Year Book -2016-17

Average Lead – Passenger Traffic

Year	Lead (in Kms.)
2007-08	118
2008-09	121.1
2009-10	124.7
2010-11	127.9
2011-12	127.2
2012-13	130.4
2013-14	135.8
2014-15	139.5
2015-16	141.0
2016-17	141.7

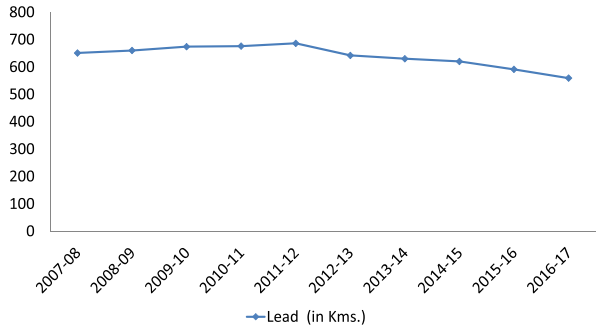
Average Lead – Passenger Traffic



Average Lead – Freight Traffic

Year	Lead (in Kms.)
2007-08	651
2008-09	660
2009-10	674
2010-11	676
2011-12	686
2012-13	642
2013-14	630
2014-15	620
2015-16	591
2016-17	559

Average Lead – Freight Traffic



Definition

Non-Fare Revenue

- Tariff Earnings or Fare – box revenue :Indian Railways primarily earns revenue by collecting Passenger fares and Freight
- Non-Tariff Earnings or Non – Fare Revenue : All other earning fall in this category

Non-Fare Revenue

Country	Major Operations (National Level)	Indicative NFR Percentage
Germany	Deutshe Bahn	34
Japan	Japan Railway Company	30
Hong Kong	MTR Corporation Limited	29
Russia	Russian Railways	12
France	French National Railway Company	10
Spain	Renfe Operadora	7
India	Indian Railways	< 5

https://innovate.mygov.in/challenges/innovation-challenge-for-identifying-new-non-fare-revenue-sources-for-indian-railways/#description

Non-Fare Revenue

	2014-15	2015-16	2016-17
Sundry Earnings Rs. Cr.	5092.74	5928.55	10368.04
Percentage of Gross Traffic Receipt	3.25	3.61	6.28

- Form Groups

What to do?

- Substantially increase Non – Fare revenue
- Monetising physical and Digital assets :
  - Trains (Inside and Outside)
  - Passengers
  - Station Platforms
  - Station buildings
  - Residential colonies
  - Land next to tracks
  - Digital and physical interfaces

Potential Areas

- Out-Of-Home Advertising
- Train Branding
- Rail Display Network
- Content on demand & Rail Radio
- QSRs, MPSs, ATMs at stations
- Integrated Mobile Application
- Railway Land Licensing

Out-Of-Home Advertising

- Monetization of all advertising assets apart from the station area
- Such as circulating areas of class A1-F stations, Road over Bridges, Road under Bridges, level crossing gates, Railway colonies, Railway workshops, Railway production units, Railway land along the tracks etc

Train Branding

- Internal and external advertisement of all trains

Rail Display Network

- Centrally controlled network of digital screens to be set up at 2000+ stations, disseminating Railway information and advertisement content, in various languages at the same time

Content on Demand

- Services consist of entertainment content which can be utilized by the passengers and shall be offered on stations and trains

Quick Service Restaurants (QSRs), Multi-Purpose Stalls (MPSs), ATMs

- This initiative includes setting up of restaurants, multi-purpose stalls and ATMs at railway stations at major stations

Integrated Mobile Application (ticketing and integrated passenger services)

- A new mobile application to be launched by Indian Railways, creating a one-stop solution for provision ticketing and affiliated services

Business Potential

- Metro Systems
- High Speed Rail
- Station Development
- Malls
- Production Units
- IT Applications & Solutions

Business Potential

- Unified Payment System
- Integrated Passenger Solutions
- Integrated Freight Solutions
- E-Commerce Potential

IRCTC

- Services Offered- Air & Railway Ticketing, Tourist Train Booking, e-catering
- 7 Lakh Tickets Issued Daily
- 3 Crore Registered Users
- 3,500 Passengers Order Food Daily
- 20,000 Tickets Per Minute Can Be Issued Now

IRCTC - Plans

- Travel Options
- Cabs & Car Rentals
- Hotel Bookings
- Payment Aggregator
- Shopping, Entertainment

Thank You

OPERATING

OPERATING - I

AN INTRODUCTION TO RAIL TRANSPORT

Transport is an important infrastructure in maintaining and developing any economic activity. Rail transport occupies a very important place in surface transport, particularly in a country like India, which is not endowed with much of waterways and has a very large size. Rail transport assumes a greater importance in our country, particularly in view of limited resources of natural oil and abundant availability of coal, an energy source easily usable for rail transport, whether directly or indirectly, through electric energy indigenous or imported. Railways have a positive edge over road, being many times more energy efficient than the latter.

Notwithstanding disadvantages like being track bound, highly capacity intensive, Railways have played a very important role in the economic development of the country. Though road transport has progressed much faster during the post-independence era, Indian Railways still continue to play a major role in the transport effort required by the nation. Indian Railways carry about 40% of the total passenger kilometres and 60% of the total net tonne kilometers of traffic that is offered to any mechanized mode of transport in the country. Given below is the growth profile of passenger and freight traffic on Indian Railways.

NUMBER OF PASSENGERS ORIGINATING

Year	Suburban (All Classes)	Non-suburban				Total Non-Suburban	Grand Total
		Upper Class	Second Class				
			Mail/Exp *	Ordinary	Total		
1950-51	412	25	52	795	847	872	1284
1960-61	680	15	96	803	899	914	1594
1970-71	1219	16	155	1041	1196	1212	2431
1980-81	2000	11	260	1342	1602	1613	3613
1990-91	2259	19	357	1223	1580	1599	3858
2000-01	2861	40	472	1460	1932	1972	4833
2008-09	3802	76	895	2147	3042	3118	6920
2009-10	3876	86	983	2301	3284	3370	7246
2010-11	4061	100	1046	2444	3490	3590	7651
2011- 12	4377	112	1188	2547	3735	3847	8224
2012-13	4477	126	1303	2515	3818	3944	8421
2013-14	4552	126	1306	2413	3719	3845	8397
2014-15	4505	138	1277	2304	3580	3719	8224
2015-16	4459	145	1321	2182	3503	3648	8107
2016-17	4566	150	1322	2078	3400	3550	8116

* Also includes Sleeper Class

FREIGHT LOADING (In Million Tonnes)

Year	Tonnes (millions)	Index	NTKMs (millions)	Index	Lead (Kms.)	Index
1950-51	73.2	100.0	37,565	100.0	513	100.0
1960-61	119.8	163.7	72,333	192.6	603	117.6
1970-71	167.9	229.4	110,696	294.7	659	128.5
1980-81	195.9	267.6	147,652	393.1	754	147.0
1990-91	318.4	435.0	235,785	627.1	741	144.4
2000-01	473.5	646.9	312,371	831.5	660	128.7
2009-10	887.79	1212.8	600,548	1598.7	676	131.8
2010-11	921.73	1259.2	635,723	1665.7	679	132.4
2011-12	969.05	1323.8	667,607	1777.2	689	134.3
2012-13	1008	1377.2	691,658	1841.2	686	133.7
2013-14	1051.64	1436.7	665,810	1772.4	633	123.4
2014-15	1095.26	1496.3	681,696	1814.7	622	121.2
2015-16	1101	1513.6	655,602	1745.3	563	109.7
2016-17	1106.15	1511.13	620175	1650.94	561	109.36

BULK COMMODITIES

Sr.No.	Commodity	Tonnes Loaded (in millions)		Variation over last year	%age share in Total Loading of 2016-17
		2015-16	2016-17		
1	Coal	551.83	532.83	-19.0	48.17
2	Food grains	45.73	44.86	0.87	4.06
3	Iron & Steel	44.79	52.41	4.62	4.74
4	Iron Ore	116.94	137.55	20.61	12.43
5	Cement	105.35	103.29	-2.06	9.34
6	POL	43.24	42.42	-0.82	3.83
7	Fertilizers	52.23	48.34	-3.89	4.37
8	Containers	45.83	47.35	-1.52	4.28
9	Limestone and Dolomite	25.53	25.53	0	2.31
13	Commodities other than above	94.42	96.82	2.4	8.75

(Source: Indian Railway Year Book 2016-17)

Functions of Operating Department

Railway operation encompasses all the activities connected with the running of a railway. However, Operating department in particular has its role in producing a service called Transportation. In this activity, Operating department harnesses the efforts of all the departments of the Railways and optimizes usage of operational assets viz. track, signals fixed installations and rolling stock. Broadly, the functions can be categorized as under:

Planning of Transport Service: This involves both long term as well as short term planning. A lot of spadework has to be done to run trains on day-to-day basis. Passenger trains are planned to be run and detailed timetable issued once every year. Arrangements of rolling stock and locomotives are made to meet the expected demand. Similarly, facilities of wagons have to be made available for the goods traffic. Demands for the wagons for different commodities vary during different seasons of the year. Railways have to plan to meet these fluctuations in demand. Planning would involve not only the individual trains but a lot of other activities necessitating creation of capacity to form and start trains at originating stations, run through a section and receive at the destination station. Though organization of the Railways gets involved in this planning process, the basic framework is provided by the Operation department to which the plans of other departments responsible for provision and maintenance of operational assets, fit in.

Running of trains and continuous watch: Running of trains would involve ordering of trains, booking of crew, watching that the conditions are safe for it to run and arranging various requirements on the run. Efficiency of operation of trains depends on the quality of planning whether short term or long term.

Safety: Safety is the prime attribute of any transport system. No user would like to use a transport system, which does not provide a reasonable amount of safety to the limb, life and property of the user. Safety is, therefore, an integral part of operations and it is the responsibility of Operating department as well to ensure that trains are operated in a safe manner. This requires rigid observance of rules and procedures of safe train operation.

Economy and efficiency: While maintenance departments are responsible for making the assets available to the Operating department in proper fettle, it is the responsibility of the latter to make most optimum utilization thereof. Operating department is, therefore, responsible for the productivity of the system. This is measured in terms of operating indices like tonne kilometres and passenger kilometres.

Classification of Traffic

Railway traffic by the very nature is divisible into two categories (i) coaching, and (ii) goods. Coaching traffic includes passenger, parcel and luggage.

Unit of traffic:

While unit of booking traffic is a passenger or a consignment whatever its size or weight may be, from the operating point of view, a unit movement is a train.

The unit in case of freight traffic is a consignment. This may vary from a few kilograms to a few thousand tonnes. From this point of view, traffic is divided into two categories as under:

(1) **Wagon Loads:-** In this category fall consignments which are booked and loaded utilizing the capacity of wagon in full. Weight would vary according to the volume of the commodity. Earlier this type of traffic was the main traffic of Indian Railways. This type of traffic is now slowly easing out of the Railways.

(2) **Train Loads:-** Railway is eminently suited to this type of traffic. This is suitable for bulk users which have a train load of traffic to be carried to one point. Bulk of the traffic that Indian Railways are carrying today is trainload traffic. Not only major factories and mines offer such traffic, even agricultural and horticultural produce moves in trainloads.

Passenger Train Operation

Movement of human beings is an important economic and social need. Large majority of rail users judge the efficiency of railway system on the basis of an occasional journey performed by them. Passenger train operation, therefore, assumes a very great importance in the system of things for the railways.

Passenger trains are arranged to be run by the railways on a regular basis. Their schedules are revised periodically to suit various requirements. These schedules are advertised to the public and are well known to the staff. Utilization of staff and infrastructure is also so planned that the entire operation becomes a routine and goes in a clock like motion.

Accordingly, passenger operation is relatively simple, straightforward and does not require very great effort on day-to-day basis.

Any dislocation in passenger train operation which requires a lot of effort on the part of operating officer not only on the long term basis but also on day to day basis. The punctual running of passenger trains, therefore, assumes importance not only from the point of view of the image of the Railways, but also because loss of punctuality leads to delays, dislocations in goods traffic and deterioration in the efficiency in the indices of both passenger and freight transportation.

Indian Railways serve the country as the main mechanized mode of transport for the inland traffic. Long distance trains crisscross the length and breadth of the country, bringing people from different parts together. Though in the past, when road transport had not been developed, Railways provided the only mechanized mode of transport in the country, whether short distance or long distance, with the development and advances in the motor transport and establishment of elaborate road network, bulk of the short distance traffic has moved to the road. Railways are also encouraging transfer of this traffic to road as road transport is more suitable mode for this type of traffic. Railways are mainly concentrating on long distance, inter-regional traffic and urban transport in the major metropolitan cities. Only that part of non-suburban traffic can be served by railways better that forms high-density corridors and it is too large for the road transport to cater to. These corridors are between major industrial and commercial centres like Kanpur, Delhi, Ahmedabad-Vadodara-Bombay-Pune. Railway is also suitable for certain extensions of suburban traffic converging into large cities which act as magnets for employment and trading activities, and attract large number of passengers on regular basis.

Time Tables

Time table is a schedule in a table form, showing details of arrivals and departures at every station of all trains carrying passengers. These timetables are issued by every zonal railway every year, effective generally from 1st July. On Indian Railways there is another time table, "Trains at a Glance", which is issued by the Railway Board and carries stoppages of important trains at important stations only all over the Indian Railways, as against the Zonal Time Table which indicates stoppages of all scheduled trains at every station on the railways. The objectives of passenger time table are as under:

(1) information for intending passengers regarding schedules of arrivals and departures; through sectional and suburban trains; connections at various stations; and the amenities and facilities available to the passengers at stations;
(2) a guide to the railway staff in arranging trains, crossings, precedences, receipt and despatch at terminals, and provision of motive power, crew, maintenance and other facilities;
(3) a guide to postal services for transmission of mail;
(4) a data base for calculating the requirements of rolling stock; locomotives and running staff;
(5) to satisfy statutory requirements. Section 65 of the Indian Railway Act lays down that railways must exhibit time tables for the guidance of the public.

Types of Time Tables

Time Tables can be divided into two categories:

(1) **For passengers**

(a) *Zonal Time Table and Guide* - This timetable is published annually by each of the zonal railways. In addition to the train timings, there is additional information, which is useful for the passengers. This mainly relates to rules regarding reservation, refunds, cancellations of confirmed booking, fare tables and other facilities, which Railway administrations provide for the convenience of passengers. Copies of these timetables are available for sale at the booking offices and bookstalls.

(b) *Trains at a Glance* - This is an abstract form of timetable for all Indian Railways. Important trains are shown with time of arrivals and departures at important stations right from the originating station to the terminating station in one table only. Users have, therefore, not to refer to a number of tables to find out the schedule of a particular train. Main points of information for passengers are also given.

(c) *Military Time Table* - This timetable is not made available for general public. Defences are one of very big users of rail infrastructure and a number of special trains for Defence are run by Railways. In order that these trains can be run at short notice, we have detailed timings of such trains worked out, which are also revised along with revision in the public time tables from time to time. These timings are kept secret.

(2) **For Railway staff**

(a) *Staff copy of public timetable* - Train timings portion of zonal timetable, without the additional pages for guidance of passengers and advertisements, is bound and copies given to staff dealing with passengers for their guidance.

(b) *Working Time Table* - Large amount of information is required to be conveyed to the railway staff connected with running of trains and maintenance of the infrastructure on the railways. They must not only know the timings of the trains but also a lot of information about the track, signals and other facilities and this information is conveyed to the staff through the working time tables. These time tables are printed division wise, and it is desirable for all railway officers to familiarize themselves with these time tables.

(c) *Graphic Time Tables* - These timetables are in the graph form and are prepared for the guidance of the Control staff. These time tables are prepared section wise, indicating over a graph not only Mail, Express and Passenger trains, but also Goods trains that can be run during 24 hours. These are also called 'Master Charts'. These are generally displayed in front of the Section Controllers in their cabins, so that they can constantly relate actual running of trains to the fixed schedules laid down in the time tables.

Factors influencing framing of time tables

As seen earlier, time tables are for the benefit of users as well as railways. Factors that influence framing of a time table can also be broadly classified into two categories:

(1) **Users Requirement.**

(a) *Departure and arrivals* - Train journeys in India are generally long and take a lot of time. It is convenient to the passengers to leave originating station in the evening and arrive at the destination in the morning so that they are able to perform the journey without wasting any working time during the day. No wonder, most of the trains from the major cities leave in the evening and arrive in the morning. Passengers performing journeys to and from important

stations enroute also like the trains to arrive at convenient timings and not in the middle of the night. All this is always not possible to accommodate, but efforts are made by Railways to adjust timings in such a manner that this requirement of passengers is kept in mind. With the increase in the number of trains, staggering of departures and arrivals become unavoidable, otherwise a lot of additional capacity would be required at the terminals and sections to deal with large number of trains in the evenings and mornings. This would also lead to idling of assets for bulk of the time as no trains would be scheduled to leave or arrive around mid day or mid night. Trains should touch important cities and junctions at convenient time.

(b) *Connections at junctions* - Railway trains run between selected pair of stations. Large number of passengers travel to stations, which are not served, by direct trains. They have, therefore, to change trains at junction stations. It is, therefore, the requirement of the passengers that the connecting trains should leave the connecting junction station as soon after the arrival of the first train as possible, so that they are not required to waste a lot of time waiting for the next train. It is also necessary that such connections are not so very tight that the passengers miss the previous train. Railways have, therefore, to design their time tables in such a manner that passengers are reasonably assured to connection within about an hour or two of the arrival of the previous train. At certain junctions, staff are authorized to detain connecting trains up to a limit if an earlier train is running late.

(c) *Halts for meals, etc.* - Since railway passengers have to travel long distances and all trains are not equipped with catering facilities, halts at meal timings are provided at stations having facilities for meals, refreshments. These halts are long enough to buy their requirements from the platform.

(d) *Overall speed* - Whatever the requirement of passengers enroute, every long distance passenger desires to complete his journey as early as possible. There is, therefore, need to provide fast, long distance trains to cut down journey time of bulk of the passengers. Railways have, therefore, introduced a large number of super fast trains during the last decade or so.

(e) *Range of travel distance* - From the view point of travel distance, railway passengers can be classified into three categories:-

i) *Short distance* - This category of passengers travel between major industrial commercial centres or capital/district cities and town or villages around such major cities. This group of passengers generally lives in surrounding town and villages and commute to the city centre/industrial centres for employment regularly. The travel distance is generally up to about 80 kilometres. In very rare cases, people travel on regular basis for more than 80 kilometres also. These passengers like to reach the cities in the morning hours to be able to attend offices/factories and want to go back as early as possible after the office is closed so as to arrive at their residence in the evening. These passengers generally travel in groups as they belong to the same place and travel together regularly. Their livelihood is dependent on punctual running of trains. They are very vociferous and do not tolerate changes which do not suit them. At locations where industries work in shifts, there is traffic around such locations both ways. It is, therefore, essential for the Railways to provide stoppages for passenger trains for the category of passengers at convenient timings. At a few places, even long distance trains are provided halts to enable these passengers to reach their work centres in time.

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ii) *Medium distance* - In this group are included passengers whose range of travel falls between 80 to 300 kilometres. Some of these passengers travel between two important cities and prefer to have over night trains. Alternatively, they use long distance trains, which are fast, but finding accommodation on such long distance trains may be a bit difficult. A large number of passengers in this group are those who work in major cities and have roots in places where they are not able to go back every day. They stay at the place of their work and visit their native place frequently, say once or twice a month. Another section of this group are those passengers who travel mainly on social or business occasion from one village/town to another. They require at least one train a day in each direction so that they can travel conveniently.

iii) *Long distance* - These passengers prefer fast trains with increased level of comfort. They require trains, which do not have many stops enroute and are able to cover the entire journey in as short a time as possible.

(2) Operator's Requirement

This has to be kept in mind that the trains are run for the use of passengers and their basic requirements are supreme. Railways make efforts to ensure that they are able to cater to all reasonable requirements of the users. There are, however, certain departmental requirements, which influence framing of time table. These can broadly be classified into the following categories:-

(a) *Infra structural requirements* - While continuous exercises to augment infra structural facilities available for running of trains continue, these do act as a constraint to introduction of more number of trains as well as timings when trains can be scheduled. Terminal facilities like platforms, stabling lines, examination lines and repair facilities at the passenger terminals influence not only introduction of additional trains, but also timings of the trains. As there is only a certain number of trains which can be attended to during a given time, departures and arrivals of the trains have to be so spaced as to permit handling at the terminals depending upon the layout at the terminals. Simultaneous departure of one train and reception of another train may also not be possible. While framing timetable, therefore, an interval between the two operations would be required.

Availability of coaches and locomotives is another factor which influences scheduling of trains. Since these are costly assets, proper use of them has to be maintained.

Railway line also has a capacity, which is provided based on certain requirements. This limits the number of trains that can run and the timing at which those trains can be run. It may be convenient for the passengers to travel at a given time but lack of adequate line capacity may force railways to run the trains at time, which may not be suitable to the passengers.

These infra structural constraints can be overcome but this is very costly proposition. Even when adequate funds are available, there is long gestation period between planning and installation of facilities. This problem is particularly acute in developing countries.

(b) *Maintenance requirements* - The infrastructure required to run the trains also need maintenance periodically. The train services are so time tabled so as to

enable the maintenance of rakes and locomotives at terminals as well as at intermediate points. Most of the routine maintenance of coaches and locomotives is attended to at one of the terminals, which is considered as the base and is responsible for proper mechanical condition of the equipment. This is also called 'Primary Maintenance'. Maintenance at the terminal at the other end is called 'Secondary Maintenance'. In addition, routine examination is carried out at important intermediate stations also.

Another requirement of coaches enroute is cleaning, watering and that of locomotives, watering and fuelling for which time also has to be provided.

In addition to the rolling stock, fixed installations like track, platforms, signals and electrical overhead equipment (OHE) also need repairs. Time tables provide a suitable block of time during day light hours for this maintenance. Efforts are made to ensure that no passenger train is scheduled during this block of time so that equipment can be maintained in proper fettle.

(c) *Operational requirement* - In the running of trains, there are a number of operational factors, which have to be provided in the timetable. There are some trains, which run faster than others. Slower trains have, therefore, to be stopped to give precedence to fast trains. In addition, on a single line section, only one train can run at a time in a block section. We generally do not have facilities on such sections where two trains running in the opposite direction to each other can cross without one of them being stopped. Generally less important train is scheduled to stop for crossing of fast train. Similarly, number of platforms at terminals as well as at important junction stations may be limited and a train may be delayed for reception till an earlier train vacates the platform.

There are a number of slip coaches, which are required to be attached or detached at junction stations. Additional halt is required to be provided for performing shunting for this purpose. This also necessarily slows down the trains. Indian Railways have, therefore, taken a conscious decision to reduce the number of slip coaches wherever possible and it is not very inconvenient to passengers to change trains. A large number of slip coaches have already been discontinued and trains accelerated.

(d) *Change of locomotives* - Locomotives required to be changed either at places where traction changes or at stations where loco shed is located and locomotives are required to go to the shed as per the loco link.

(e) *Loading/unloading of parcels/luggage* - Stations having lot of luggage of passengers and parcels are also required to be provided additional time to permit loading/unloading.

(f) *Staff requirement* - There is a limited time up to which railway staff is expected to perform their duties. They have, therefore, to take over and made over their charge at fixed locations. A bit of additional time is provided for the staff to examine the equipment and documents etc., being taken over.

(g) *Unforeseen circumstances* - There are a number of circumstances like signal failure, alarm chain pulling, occasional failures for which provision has to be kept. If no provision for such eventualities is kept, it is likely that the trains

may run late frequently. This is generally up to the maximum of 3% of the total running time and is called 'traffic recovery time' and is provided short of big junctions, divisional/zonal interchange points. It may, however, be noted that in actual practice on most of the railways very little traffic recovery time is available.

Important Connotations used in connection with Time Table

1. **Maximum Permissible Speed (MPS) -** This is the speed which a driver cannot exceed. This is also called technical speed and is dependent upon the technical condition of the track, signalling and rolling stock in use. It is generally different for different sections and trains. Most of the express trains on Indian Railways have MPS of 100 kmph. In order to increase this speed limit, signalling and track need to be carried out and Commissioner of Railway Safety has to satisfy himself before he permits this limit to be enhanced. Quite a few super fast trains have MPS higher than 100 kmph. Our fastest train so far was Rajdhani Express (140 kmph), but with the introduction of Shatabdi Express between NDLS - AGC, the fastest booked speed is now 150 kmph between NDLS – AGC.

2. **Booked Speed -** This is the speed which determines the normal running time of the trains and on the basis of which timetable is prepared. This is generally 10% less than the maximum permissible speed.

With effect from 1st December, 2006, however, this distinction in speeds has been done away with.

3. **Average Running Speed -** This is the average speed of the train on run. For calculating this, total time consumed in halts is deducted from the total time taken by a train between originating and termination stations.

4. **Commercial Speed / Overall Speed -** This is the average time taken by the train per hour from its start to termination. Long distance passengers are concerned with this. They are not interested how fast a train runs between the stations. What they are concerned about is how fast it can reach its destination.

5. **Speed Restrictions -** Maximum permissible speed and booked speed relate to the particular section of the railway engine. Actual condition of the track bridges, curves and nature of signalling at certain stations may require the trains to be run at speeds which should be lower than the booked speed of a particular train. For this, special speed restrictions are imposed, which are of two types:

(a) *Permanent Speed Restrictions* - These speed restrictions are the ones, which are supposed to be for sufficiently long duration and are mentioned in the Working Time Table. Since copies of the Working Time Table are available with the train crew, no other intimation is required to be given to them on day-to-day basis. The time which the trains are expected to lose in observing its restrictions is built into the running time and is time tabled accordingly. These restrictions last the currency of a timetable and are reviewed at the time of revision in the timetable.

(b) *Temporary Speed Restrictions* - A number of speed restrictions may have to be imposed for a short duration either on account of defects in track and related equipment or to facilitate repairs to the track and OHE and signalling installations. Requirement of time for such repairs is assessed well in time

before a new timetable is introduced and this time is separately provided for in the timetable and is called 'Engineering Allowance' (EA). This time is also provided in the timetable short of junction stations or at the divisional/zonal interchange points. If there are repair works elsewhere on the section, trains would run late and this would be adjusted before the junction interchange points.

Minimum Running Time

This is the time, which a train should take between two stations when running at maximum permissible speed. This is calculated taking into consideration the permanent speed restrictions that may be in force from time to time in the concerned sections. This would be different for different trains and the driver is in no case permitted to take less than the minimum running time relevant to his train. Guards of the trains and Section Controller keep a watch on this aspect so that in case of over-speeding by the drivers, they may take steps to check them.

Normal Running Time

This time is based on the booked speed of the train and is generally about 10% more than the minimum running time. The driver is expected to run faster to the minimum running time when running late and is expected to make up time.

As stated above now this difference in running times has been done away with and trains are expected to adhere to one set of running times only.

Calculation of Running Time

Calculation of running time is based on a number of factors, viz.:

(a) Distance between the two stations
(b) Hauling power of the locomotive
(c) Load of the train
(d) Permissible speeds
(e) Permanent speed restrictions
(f) Gradients and curves
(g) Time required for acceleration and deceleration.

This time is calculated with the help of computer by RDSO and is further validated through trials.

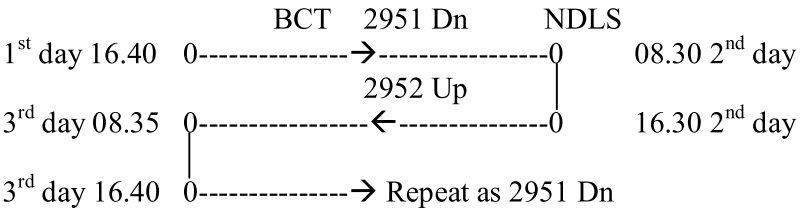
Authorized Detentions

This is a time for which a train can be detained at a junction station to wait for another train running late in order to facilitate passengers to maintain connections at the junction stations, some trains can be detained for a specific period, after this detention the train can give connection to another nominated train so that undue hardship to the passengers is not caused. These are, however, the outer limits and connecting train cannot be detained, if it is not likely to connect the trains to be connected within the prescribed limit. This is given in the Working Time Table.

Rake Links

Every train has certain specific set of coaches in a definite formation, which is called 'a rake'. This standardization is necessary to ensure the same type and level of accommodation not only for the guidance of passengers but also for the convenience of management. Since run of a train to the destination and back may take much time to permit the service to be run next day, there is a need for more than one rake. A number of rakes are, therefore, linked together in such a way that one rake is available at either end to run the service as per the schedule. There may be certain trains, which are single rake trains, and these trains are so scheduled as to run whenever the rake becomes available at either of the terminals. If it is a short distance train, it maybe possible to run the train on daily basis with single rake. However, if it is long distance trains, frequency of the trains will get influenced by the availability of the rakes. If long distance trains are to be run, more frequency than permitted by the single rake, additional rakes have to be introduced in to the circuit, which work in links. This is what we call a rake line. A simple example of a rake line is given below:

Rake Link:-



Number of Rakes Required – 2

Goods Train Operation

Goods train operations are inherently more complex than passenger operations for a variety of reasons. Freight operations involve supply of empty wagons for loading of traffic, picking up and collection of loaded wagons from goods sheds and sidings, grouping of loads and formation of trains for varying distances in marshalling yards, arrangement of locomotive and crew, and constant monitoring of the movement of trains of loaded wagons as well as empties right up to the destination. The demands of traffic fluctuate from place to place, day to day at the same place and at different seasons of the year, depending on production which itself is subject to fluctuation owing to weather, consumption patterns, market variations, and sources of supply, labour problems and a host of other factors. The Railways deal with a huge variety of articles, raw material, finished products, packed goods, dangerous goods, livestock and over dimensional consignments. Such a large variety requires different types of wagons for transport, demand for which will fluctuate according to varying patterns.

For this reason it is not generally possible to run goods trains to a fixed schedule or time table as is the case with passenger trains. A goods train which is planned hence does not automatically run to fixed timings but has to be specially 'ordered' or 'arranged'. Difference between passenger and goods trains in this regard is that crew and locomotives for passenger trains become available on the basis of links, those have to be specially ordered by the control office for goods trains. The conditions required for running of goods trains are availability of:

1. Sufficient load in the yard or at goods shed or in siding and feasibility of train formation in time

2. Power
3. Crew & Guard
4. Path

The running of a goods train depends on three organizations:

1. The marshalling yard or siding which forms the train
2. The loco shed which arranges locomotives
3. The control office which arranges and supervises the movement

The Dy. Chief Controller in charge of goods operation is responsible for ordering goods trains in close coordination with the Power Controller, Traction Loco Controller and the Marshalling Yard/sidings etc.

The provision of power and loco crew is the responsibility of the Power Controller from the mechanical/electrical department as the case may be.

Both diesel and electric locomotives do not require frequent maintenance unlike steam locos in use earlier, and can operate over a very large range of territory, it is not economical to allot or base locomotives at individual sheds in each division, as a single centrally located shed can easily meet the maintenance needs of a large territory. In their case, therefore, based on the outward and return runs plus allowance for detentions at yards at each end of the run, the turn round time is worked out and each division is allotted a number of engine hours, depending on the total number of services to be run. It is the responsibility of the Maintenance department to ensure availability of locomotives up to this level, and of the Operating department to ensure optimum utilization of locomotives so made available.

Wagon Usage - The wagon is the main earning asset of the railway; but it fetches earning only when loaded and moving. Therefore, every effort must be made to load as many wagons as possible and to keep the fleet mobile. Therefore, for a given daily level of loading of wagons that Division or Railway is more efficient which is able to manage with a lesser number of wagons plying on the Division or its 'wagon holding' or 'wagon balance', is an important index of the efficiency of operations of a Division or Railway. However, a difficulty will immediately become apparent, viz. that if a Division were to load a large number of wagons for destinations outside its own jurisdiction, very soon it would run out of wagons. Such a difficulty was faced from the very beginning when companies owned their own wagons. In the beginning, individual companies accepted booking of goods only for stations on their own jurisdiction. The customer was required to 'release' the wagon and arrange a fresh booking over the next railway company's jurisdiction. Obviously, this was a very cumbersome and expensive process and soon enough arrangements were evolved between companies to allow through movement or "interchange or wagons". These arrangements were regulated through the Indian Railway Conference Association. To prevent misuse of wagons by destination railways by detaining the wagons on their own systems for their own local loading, they were required to pay:

1. a per day hire charge for the duration that a wagon would remain on their system for transit to destination land back to the owning railway;
2. If the wagon was detained beyond this period, a penalty charge at a sharply increased rate was levied.

Wagons now move freely between different zonal railways in India. But the above system of 'hire charges' is still prevalent between India and Pakistan/Bangladesh to a limited extent.

Pooled and Non-Pooled Wagons

As various railway companies had evolved their own wagon designs, a wagon of lone railway system might not be considered safe or up to the standard by another railway company. To get over this difficulty, the IRCA evolved a system of examination of wagons at inter-change points by its own train examination staff, which system came to be known as "neutral train examination". Such wagons as conformed to a standard design and were considered fit to move freely between one railway and another were taken into the common "wagon pool". Special types of wagon meant to carry special cargo on a particular railway or wagons not conforming to the standard design were called "non pooled" and when loaded to an adjacent railway, were required to be returned immediately to the owning railway by the shortest route. Gradually the vast majority of wagons came to be "pooled".

There was yet another category of wagons which might be of low capacity or of very old construction and maintenance not up to accepted standard which could only be used for specific internal movement within each railway and were known as "local traffic wagons". Such wagons were not acceptable in interchange.

The exchange of wagons at terminal junctions between one railway and another thus enables free movement of goods through to destination irrespective of the jurisdiction on which the originating and terminating stations might lie. With the nationalization of railways, the coordinating role of the IRCA has gradually been taken over by the Railway Board.

The working of the wagon pool may be compared to a bank advancing capital to a business. Each Railway contributes its own wagons to the pool, which might be considered as equivalent to depositors keeping their money in bank accounts. In turn, each railway is authorized to draw out of the pool up to a certain number of wagons, depending upon its loading targets and the 'turn round time'; somewhat like the limit up to which a bank may allow an advance to a business firm. For this reason, as with the business firm's advance from the bank, the receipt of additional wagons from other railways through interchange, which adds to the wagon balance of the railways, is considered an additional loan from the pool and is accounted as a debit transaction, while the handing over or making over of wagons to another railway, which reduces the wagon balance, is considered as return of loan to the pool and is a credit transaction. Wagon holding beyond the target may be considered as so much not borrowing of wagons from the pool, and the objective must, therefore, be to achieve the targeted loading with as little borrowing as possible.

The Railway Board, by watching the wagon balance and the movement of broad streams of traffic through important interchange points can readily feel the pulse of operation and regulate it as necessary. That is why the fulfillment of interchange quotas between Railways is considered one of the most important operating performance indices. In a similar manner, interchange targets and wagon balance targets are set and monitored for each division.

Goods Train Speeds

Just as in the case of passenger operations, punctuality is considered the index of efficiency so in the case of goods operations speed is the index of efficiency, as better speed of goods trains means better utilization of both of locomotives and wagons and also economic utilization of running staff. The essential pre-requisites for better running speed are right time start of goods trains from originating yards/sidings and running the train to path.

Wagon Turn Round

The availability of wagons for loading will depend on the speed with which wagons once loaded can be made available again for loading. This is referred to as "wagon turn round", which is one of the common measures of efficient utilization of wagons. Wagon turn round is defined as the "interval in dates between two successive utilizations of a wagon". A simple formula for calculating wagon turn round is as follows:

$$T = \frac{B}{L+R}$$

Where T is wagon turn round
B is effective daily average wagon balance
L is the daily average number of wagons loaded
R is daily average loaded wagons received

Thus, if a division has an effective holding of 6000 wagons with 400 wagons per day originating loading and 200 loaded wagons received from other divisions, the wagon turn round will be:

$$\frac{6000}{400+200} = 10 \text{ days}$$

Therefore, the turn round improves when loading and loaded receipts increase, and deteriorates when loading and loaded receipts come down; as for example, by increased intake and movement of empties, this latter factor is not significantly under the control of a division and, therefore, an increase in empty movement may lead to a deterioration in wagon turn round although the division may be functioning efficiently. Wagon turn round, therefore, is not a very reliable indicator of wagon utilization, but the simplicity of the concept and its calculation make it a convenient, if somewhat incomplete management tool.

More reliable and comprehensive indices of wagon utilization are the following:

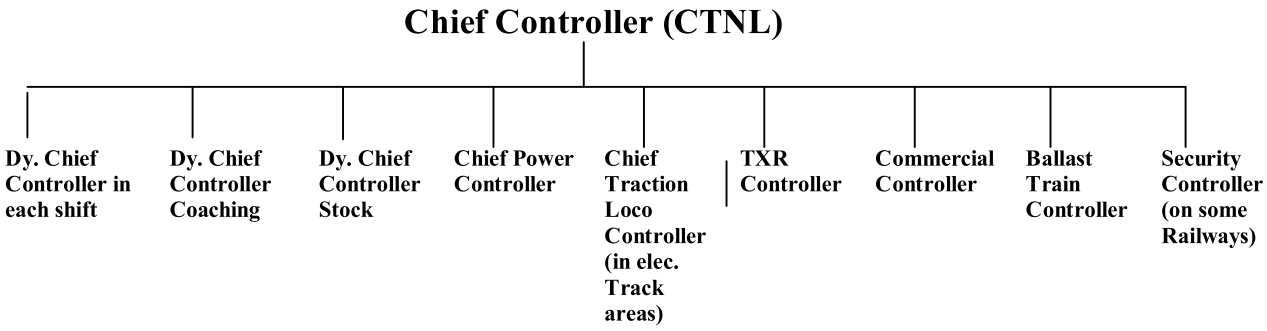
1. Wagons per wagon day, which is a mobility index.
2. Tonne kms. per wagon day, which is the index of the work done. This may be expressed either as gross tonne kms (GTKM) per wagon day, a figure that includes both wagon tare weight and pay load, or as net tonne kms (NTKM) per wagon day in which only pay load is counted.

Operating Control Organization & Functions

The purpose of Control

As an organization develops and becomes more complex, the need for coordination between its various units becomes more urgent. The Control organization is one of the principal means by which this essential coordination is obtained in railway operation. Position of the Control officer in the railway organization can be compared with that of the brain in human body. Just like the brain, it guides all operations on the railway.

Organization of a Divisional Operating Control



The Functions of Control

The complete operation, passenger as well as goods on a division or part of a division in every aspect is in the hands of the Control. This involves:

1. the systematic timing, working and loading of all trains both goods and passenger;
2. the correct ordering and use of locomotive so as to reduce to a minimum the productive time of power and personnel, and losses on account of wasted haulage capacity on trains and thus to keep the "turn round" as low as possible;
3. to so distribute coaching and goods stock and direct its loading, despatch, and movement, particularly through intermediate marshalling yards, and to so direct its placement and quick release so as to attain the quickest possible "turn round";
4. to keep in the closest touch with the operation of continuous sections and divisions so as to avoid congestion and lack of fluidity;
5. from experience gained, to suggest improvements and to eliminate conditions that lead to congestion;
6. to settle promptly and wherever possible without recourse to correspondence, questions of irregularities and to educate and assist stations in correct methods;
7. to provide a continuous supervision by a central competent authority over the entire operation including:
   (a) running of and working of engines both train and shunting;
   (b) working of all trains generally;
   (c) distribution and movement of rolling stock;
   (d) arrangement, imposition and removal of engineering blocks and allied restrictions;
   (e) duty hours of running staff;
   (f) operation of terminals and junctions including yard shunting
   (g) Prompt and economical movement of rakes/piecemeal stock.
8. To provide an impulse of human energy and brain power throughout the section and by coordination and direction ensure the free movement of traffic and thereby obtain the maximum output from each unit involved at the minimum cost to the administration.

The function of the Control office may, for the purpose of understanding be conveniently classified under the heading of planning, execution and review, though in practice, of course, all three activities would be going on simultaneously.

Planning

1. forecast of interchange;
2. forecast of train to be run section wise; 3
3. forecast of supply of empties for bulk loading transshipment, etc.;
4. forecast of unloading;
5. Planning for engineering blocks and special moves.

Information required for this purpose:

1. power availability
2. availability of loads
3. disposition of empties and planning for loading
4. analysis of midnight divisional wagon balance

The plan is made by CTNL daily at 0800 hrs. and reviewed by Sr.DOM and HQ is informed by 1000 hrs. both immediate and antecedent, for taking remedial action to prevent their recurrence.

Execution

The day's plan is to be executed by yards, loco sheds, TXR depots, transshipment supervisors, area controls, SMs and must, therefore, be communicated to them as soon as it is finalized.

Instructions are given in the course of the morning conference, modified as necessary after conference with the HQ. The performance is reviewed once at 1600 hrs. and briefly at night.

Review

Objectives:

1. Analysing shortfalls of previous day to take remedial measures and pin point weak spots;
2. Provide basic data for planning for current day.

The following are the main features of the previous day's performance which are reviewed:

* interchange
* Divisional wagon balance
* Train running
* Disposition of empties
* Particulars of stabled loads
* Yard balances
* Unloading on division
* Registrations and loading
* Transshipment performance
* Punctuality
* Power utilization

* Sick line working
* Accidents, unusual occurrence
* Special type stock
* Crane wagons (heavy lift)

H.Q. Role

The operations of the division require close coordination with and assistance from other divisions and railways. While close direct contact is maintained with neighbouring divisions, the conference with HQ is the principal means of achieving coordination, particularly with reference to:

1. Llevel of interchange between divisions and adjoining railways;
2. Diesel loco holdings on different divisions;
3. Pinpointing excessive balances, hold ups, providing assistance to clear extra power, regulation, imposing quotas and restrictions;
4. Advising traffic in sight from other railways/divisions.

While primarily an operating instrument, Control can and should be of immense value to other departments, e.g.

Commercial department - It can be of considerable help in tracing missing consignments and in the connection of unconnected consignments; expediting the quick disposal of wagons detached out of course for such reasons as broken seals, hot axle, etc., in quickening the release of wagons by ensuring adequate labour at goods sheds and transshipment points for prompt release of wagons, and for balancing the supply of tarpaulins (wagon sheets) when loading general goods in open wagons. It can also be used for the census of passenger trains, to ensure a high standard of service to the public.

Engineering department - By regulating and planning the working of ballast trains and Engineering blocks, it can do much to save waste of labour and ballast train time, while by conveying prompt information to the persons concerned regarding patches of track needing immediate attention it can make for safety of working and expedite such action thus minimizing dislocation of traffic. Prompt release and loading of wagons by departmental users is also watched.

Loco department - By effective control over the distribution of fuel to various sheds and by an economic utilization of loco power it can do much.

C&W department - Role of C&W department is in maintaining proper health of coaches and wagons. For this purpose, there are sick lines and carriage depots available on the division. Their performance and problems are monitored by the Control office located in the divisional office. C&W controller keeps the Sr. DME informed of any problems arising in the maintenance from time to time so that timely decision can be taken at the appropriate level.

There are detachments of coaches and wagons from running trains at road side stations. C&W controller keeps a watch on them, not only for prompt attendance to them but also for preventing such out of course detachment in future.

Similarly it keeps a watch on the running of close circuit rakes so that their integrity does not get impaired and the kilometer-logging is up-to-date.

Signal & Telecommunication department - Failures of signals, block instruments etc., can cause loss of punctuality and efficiency on the railway. Control office watches these developments like a hawk. Though no separate controller for this purpose is posted in Control offices, one of the Signal Inspectors in the divisional office keeps liaison in the Control. Control officers maintain a register where defects of signals reported by drivers are recorded so that prompt action to rectify them can be initiated.

The very function of Control office depends on the functions of telecommunication network on the division. We have telecommunication staff posted in Control offices round the clock, and who are part of the Control organization, for keeping a watch on the functioning.

Security - Law and order and indiscriminate use of alarm chain apparatus are watched closely in Control offices. In areas where such problems exist, we have RPF staff also posted in the Control offices to keep liaison with their out posts.

Stores - Expeditious movement of railway materials is essential for the efficient functioning of all the departments. At certain control offices, therefore, we have Stores chasers who watch the movement of stores delivery vans, keeping liaison not only with their staff but also the consignee for whom material is carried in these vans.

Marshalling Yards

A marshalling yard is a place where goods trains originate and terminate. Goods wagons, loaded and empty, arriving from different directions are sorted out and classified according to a plan so as to enable fresh trains to be formed with optimum load for the locomotive and running of goods wagons in full loads or large blocks through to destination or to the farthest possible common point. The need for marshalling yards, of course, arises from the fact that on the railways the unit of movement, which is the train, is much larger than the unit of booking which typically is the wagon and, therefore, facilities for consolidating the wagons together into train as well as for breaking up trains and sorting out into individual wagons become essential. This situation has, however, undergone a material change now due to more and more running and loading of rake-load traffic.

Marshalling yards are thus an important part of the goods operations scheme and, in fact, the predominant proportion of total wagon time is spent not on trains but in marshalling yards. That is why the marshalling yards are often referred to as 'necessary evil' which, if not properly worked can easily become a 'graveyard' for wagons. The yards are normally located at the following types of places:

1. Junction routes
2. Junction of gauges
3. Major ports
4. Major industrial complexes
5. Collieries

Evaluation

The principal statistical indices for evaluating marshalling yard operations are of two types viz. volume and efficiency. The reporting period for marshalling yard operational statistics is usually the calendar month.

The volume of work done is assessed from the number of trains received, number of trains despatched, the number of wagons received, the number of wagons despatched and number of wagons dealt with.

The efficiency of operation is known through the average detention to wagons, which figure may be further taken down indicating detention to through wagons, local wagons and empties. Other indices are the number of wagons dealt with per shunting engine hour, the percentage of right time starts, the percentage of mismarshalling loads originating, the cost of damage to wagons, occupation of line in reception and despatch yards, detention to trains at adjoining stations for reception, intensity of utilization of hump and cost per wagon etc.

Line Capacity and Throughput

There is a limit to the number of trains that can be run on a section. The total number of trains that can be run during a period of 24 hours on a section is called 'Line Capacity of the Section'. For a single line section, this is calculated as number of trains that can be run each way during this time period. On double line sections, this capacity is worked out for both directions separately.

There are a number of block sections on a section. Capacity of the block section on which trains take maximum time is reckoned for the purpose of the capacity of the section. This block section is called the 'Critical Block Section'. The number of trains that can run through this Critical Block Section can also run through the entire section.

Throughput

The ultimate objective of increasing the capacity of a section is to carry more traffic and not merely to increase running number of trains. A more reliable index of productivity is, therefore, throughput expressed as gross or net tonne kms per route km per annum. Average train load of most of the trains on Indian Railways is about 3000 tonnes on B.G. We have made a small beginning in running heavy trains on Gaya-Gaziabad section on Eastern/Northern Railways. These trains are 9200 tonne trains. There is, however, lot of difficulties in running trains having varying speeds and loads on the same section. We have passenger trains running up to a maximum permissible speed of 120 kmph. On the same section, goods trains run with a maximum speed of about 75 kmph. A great deal of care has to be taken if heavier trains are run on the same sections where there is heavy passenger traffic.

A new beginning has now been made by IR to increase the throughput of the section by resorting to what is known as increased axle-load. In this, those commodities which are dense, like ores, are permitted to be carried in excess of marked carrying capacities of the wagons, which is for average commodities. Introduction of this measure has paid rich dividends in increasing the throughput on various sections.

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Sr. No.	Subject
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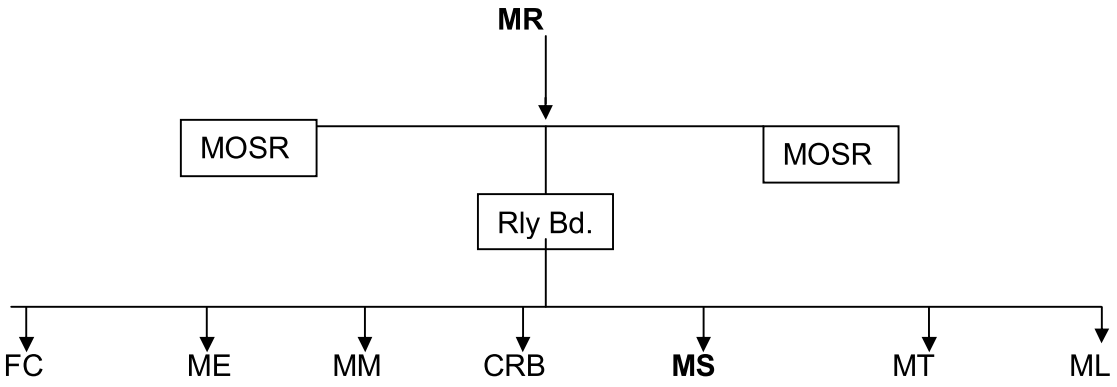
2	Recruitment
3	Industrial Relations
4	Railway Servants (Hours of Work & Period of Rest) Rules, 2005
5	Railway Service (Conduct) Rules, 1966
6	Railway Servants (Discipline & Appeals) Rules, 1968
7	Leave Rules & Different Kinds of Leave Rules
8	The Railway Servants (Pass)Rules 1986
9	Allowances
10	Welfare Activities
11	Staff Benefit Fund

Chapter 1

Organization of Personnel Department

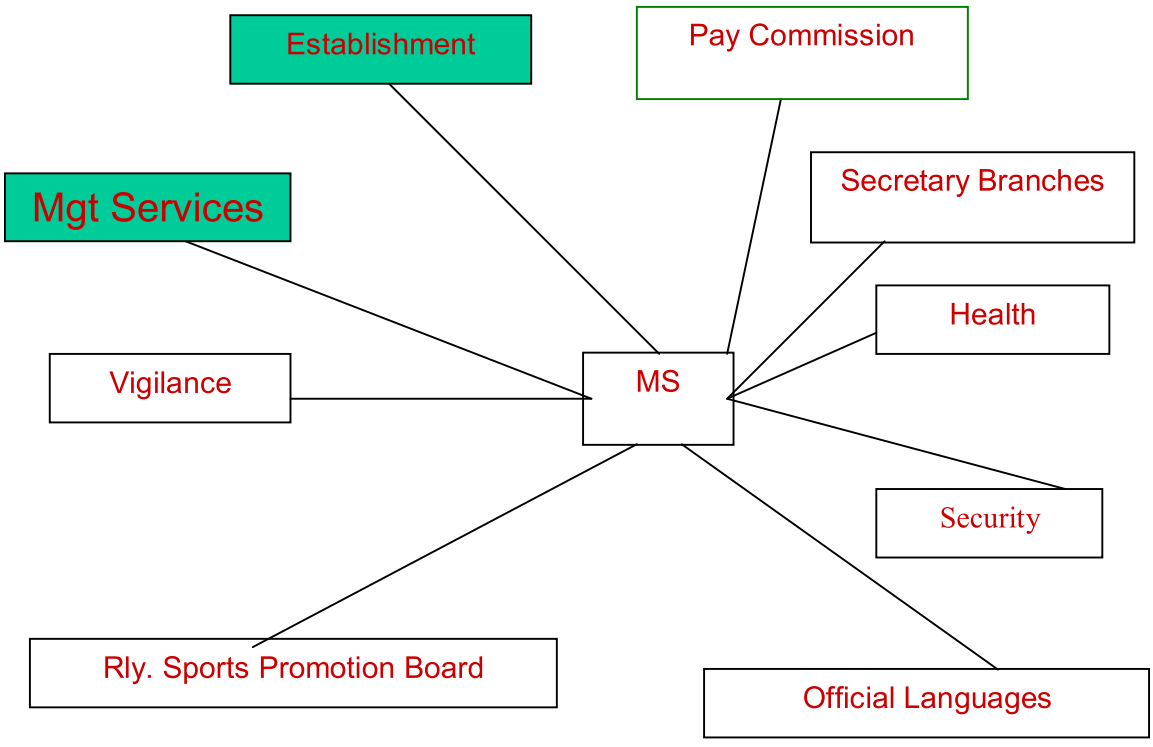
Organization charts of personal department of Indian Railway's at Railway Board, Zonal Level and Divisional Level are given below.

ORGANISATION CHART AT RAILWAY BOARD LEVEL

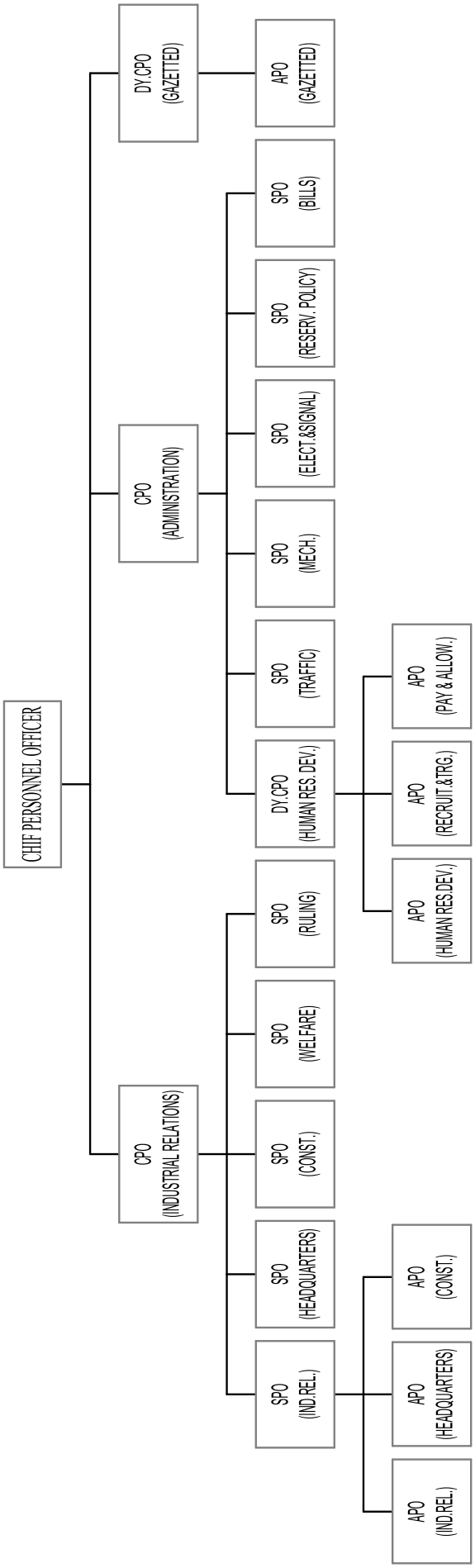


Member Staff (MS) is the functional member in the Railway Board for the staff matter.

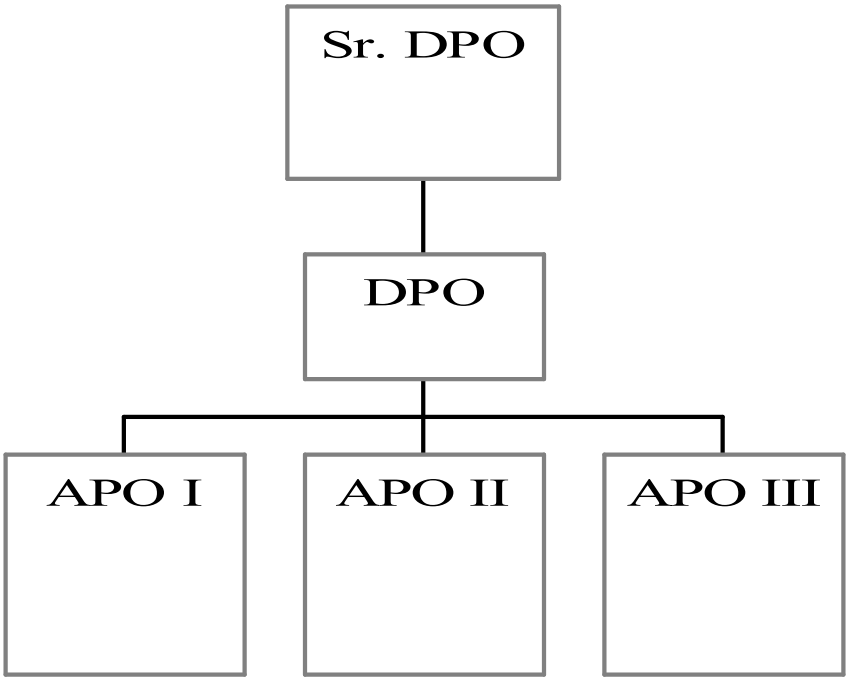
DIRECTORATES UNDER MEMBER STAFF



ORGANIZATIONAL CHART AT ZONAL RAILWAYS



ORGANISATION CHART AT DIVISION LEVEL



Some important different Pay Scale on Indian Railway

Designation	Scale (Rs.)			7th PC
CRB & Members	26000 fixed	80000fixed		- 225000
GM & Addl. Members	22400-26000	75500-80000	–GP NIL	- 205400
AGM & PHOD	22400-24500	37400-67000	-12000	- 182200
SAG (ED's in Rly. Bd.)	18400-22400	37400-67000	-10000	- 144200
SG (Director in Rly. Bd.)	14300-18300	37400-67400	-10000	- 118500
JAG (Joint Dir in Rly.Bd.)	12000-16500	15600-39100	-7600	- 78800
Sr.Sc. (Dy. Dirin Rly. Bd.)	10000-15200	15600-39100	-6600	- 67700
Jr.Sc.	8000-13500	15600-39100	-5400	- 56100
Gr.B	7500-12000	9300-34800	\-4800	- 47600

Designation	Scales (Rs.)			
Group C -				
Chief (STAFF AND WLI)	6500-10500	9300-34800	-4600	- 44900
Head Clerk/S&WLI	5000-8000	9300-34800	-4200	- 35400
Sr.Clerk	4500-7000	5200-20200	-2800	- 29200
Jr.Clerk	3050-4590	5200-20200	-1900	- 19900
Group D-				
Ferro Printer etc.	2750-4400	5200-20200	-1800	- 18000
Sorter, Gas operator etc.	2650-4000	4440-7440	-1800	- 18000
Daftary, Hamal, Sr.Peon	2610-3540	4440-7440	-1800	- 18000
Peon,Khalasi etc.	2550-3200	4440-7440	-1800	- 18000

Functional areas of Personnel Management

I. Organizational planning & development

- Determination of the needs of organization in terms of short, medium and long term objectives.
- Planning, development and designing of an organizational structure through fixing the duties, responsibility and authority of the employees so that goals may be effectively achieved.
- Development of interpersonal relationship through division of positions, jobs, tasks.
- Inspections

II. Staffing and Employment

- Manpower Planning - Creation, abolition, transfer of posts, cadre review, re-designation, merging of posts, assessment of vacancies, requirement, deployment, redeployment.
- Recruitment
- Selection, suitability, trade test
- Placement of an employee
- Induction and orientation - Introducing employee to the org. giving him all possible information about organization's objectives, philosophy, policies.
- Seniority, transfer, promotion, reversion
- Separation process (retirement, voluntary retirement, removal, dismissal, resignation, medical ground retirement, death etc.)

III. Training and development

- Initial training.
- Refresher training.
- Promotional training.
- Special professional training.

IV. Compensation, wages and salary administration

- Job evaluation
- Payroll-Wage, salary, annual increment, pay fixation, allowances, recovery
- Incentive, including non-monetary like certificate cum trophy awards.
- Motivation

V. Employee services and benefits

- Safety provision in sheds, workshops
- Employee's counseling
- Medical services
- Staff benefit fund
- Fringe benefits -
  a) Leave, Passes, PTOs
  b) Workers compensation benefit
  c) Pensionary benefit
  d) Bonus, allowances

VI. Employee records

- Service sheet, personal case, leaves account, seniority list, nominations, and performance appraisal reports.

VII. Labour relation / Industrial relation

- HOER
- Grievance handling
- Rules and regulations - DAR, Vigilance
- Rewards
- Dealing with labour commissioner (CIRM)
- Dealing with trade unions as collective bargaining - PNM, joint consultation, PREM
- Court cases

VIII. Employee welfare

Conditions of work environment

- Working condition
- Allotment of railway quarters
- Sanitation and cleanliness
- Drinking water
- Canteen, Creches, Rest rooms

b) Health services

- First aid facility in all offices
- Medical examination of employees
- Periodical medical examination
- Medical facility to employee & his family members
- Recreational and other welfare facilities, clubs, cooperative stores, sports, schools, Balmandir, holiday home, canteens, community hall etc.
- Education, Balmandir
- Factory act, minimum wages act, wages act, workmen compensation act etc.
- Social work - family planning, blood donation

IX. Personnel research and personnel audit

- Utilization of human resource
- Implementation procedures and policies
- Data relating to important aspects to analyze
- Morale and attitude survey
- Change scope of Personnel administration
- Emerging role of personnel management
- Role of the personnel managers of tomorrow
- Modernization of 'P' branch PMIS

Chapter – 2

Recruitment

The principal modes and agencies of recruitment on Indian Railways are as under:

1. Union Public Service Commission for Group 'A' Services
2. Railway Recruitment Board for Group 'C'
3. Railway Recruitment Cell for Group 'D'
4. Screening of Casual Labours & Substitutes
5. Appointment on compassionate grounds
6. Appointment against sports quota
7. Appointment on the grounds of cultural and artistic talents
8. Appointment of physically handicapped persons through RRB & RRC

Recruitment through UPSC for Group 'A' Services

There are the following nine organized services (other than RPF) on the Indian Railways:

1. Indian Railway Service of Engineers (IRSE)
2. Indian Railway Service of Mech. Engineers (IRSME)
3. Indian Railway Service of Signal & Telecom. Engineers (IRSSE)
4. Indian Railway Service of Electrical Engineers (IRSEE)
5. Indian Railway Stores Service (IRSS)
6. Indian Railway Traffic Service (IRTS)
7. Indian Railway Accounts Service (IRAS)
8. Indian Railway Personnel Service (IRPS)
9. Indian Railway Medical Service (IRMS)

Direct Recruitment to all the above nine services is made through the UPSC on the basis of Annual Competitive Exams. The recruitment to IRSE, IRSME, IRSEE & IRSS is done through Combined Engineering Services Examination, while that for IRTS, IRPS & IRAS is done through the Civil Services Examination. The recruitment to IRMS is done through the Combined Medical Services Examination.

In accordance with the provisions of the Recruitment Rules, 50% of the vacancies arising in a year are to be filled through the competitive examinations referred to above (except in the case of IRMS where it is 100% by Direct Recruitment) and the balance 50% are filled by promotion from Group 'B' to Group 'A'.

SENIORITY OF MEMBERS OF GROUP 'A' SERVICES

The following principle is applied to fix the seniority of Gr. A officer:

A. Seniority within the same service

i. The officers belonging to any examination batch would initially be junior to the officers of the same Service belonging to an earlier examination batch.

ii. Within the same batch, the inter-se seniority would initially be in order of merit in the batch as existing on completion of the period of probation.

B. **Seniority Between members of any two Gr. A Services**: The inter se-seniority as between members of any two Gr. A Services would be determined by the Date fro Increment in Time-Scale (DITS) except that-

i. In case any officer joins service earlier than his senior in the same Service in the same batch, he well take a notional DITS, which will be the same as that of his senior.

ii. In case any officer is superseded on grounds of suitability by any officer of his own Service, he will, for the purpose of composite inter se-seniority, take a place just below that of his erstwhile junior who has superseded him.

iii. In case an officers gets a General Manager's post open to more than one discipline later than an officer of another Service on grounds of suitability he will take his seniority below that officer.

Definition of DITS- The Date for Increment in Time Scale would be the same as the Date of Joining Service in case of direct recruits to Gr. A Services and for others it would be the Date for Increment in Time Scale in Gr. A Service as determined, as per rules laid down from time to time.

DETERMINATION OF SENIORITY OF Group 'A' PROBATIONER

The inter se-seniority of Gr. A probationers of a particular examination batch and of a particular serivice, on their confirmation to Jr.Scale is desided on the basis of marks optained by them during the probationary training as indicated below:

Training in RSC		Training in Professional Institute			Assessment by Dir. / Controlling officers		
Foundation	Induction	PhaseI	PhaseII	Posting Exam.	Gen. Perfor.	Field trg.	Total
150	150	200	200	200	70	280	1250

And marks obtained by them in the UPSC examination. For the purpose of determining seniority probationers merit position is determined on the basis of marks secured out of maximum marks- 3300 (the maximum marks of UPSC competition would be 2050 and for probationary training 1250).

For Engineering Services Examination, marks obtained out of 1200 will be normalized by multiplying the marks by 1.71083 (2050/1200) & in the case of SCRA marks obtained out of 2400 during the apprenticeship period will be normalized by multiplying by the marks by 0.854 (2050/2400).

Promotion from Group 'B' to Group 'A'

All group 'A' appointment in Jr. Scale, whether direct or by promotion are done by Union Public Service Commission.

As referred above, **50% of vacancies** as calculated in a recruitment year are filled by promotion from Group 'B' to Group 'A'. Steps involved are as under

(i) Promotion and all DPCs (Departmental Promotion Committee) procedure are handled in Rly. Board's office in a Branch known as Estt.Gazetted Promotion under **Directorate of Management Services.**

(ii) As per existing Reservation policy of Govt. of India, SCs & STs (not OBCs) are to be given benefit of reservation from Gr. 'B' to 'A' (Jr. Scale). Thus communal distribution is worked out. Thereafter zonal distribution of vacancies in each deptt. As per rules lay down by Ministry of Railways.

(iii) As per zone of consideration, **CRs for last 5** years of eligible candidature from each zone along with seniority list of Group 'B' officers are collected & sent to UPSC to arrange DPC once in a year. Representatives from Rly. Board as per composition of DPC does also participate in selection process.

(iv) UPSC then send select list to Rly. Board & there after with the approval of Railway Minister, Ministry of Railways issues notification for appointment in Group 'A' Jr.Scale. Group 'B' officers on their promotion to 'A' also get **weightage of their Group 'B' service in seniority** to Group 'A'.

Promotion within Group 'A'

An officer is promoted in next grade when he fulfils eligibility norms and is adjudged suitable based on service record (5 years/available performance report) by departmental promotion committee. However before officer can be promoted to higher grade, a vacant post should be available in the grade.

i. **Promotion to Senior Scale:** A junior scale officer is promoted to Senior scale after completion of 4 years of service in junior scale by GM based on bench mark as 'good'.

ii. **Promotion to JAG:** A Gr. 'A' officer working in senior scale can be promoted to JAG after completion of minimum 8 years of Gr. 'A' service. Full board is the DPC for this purpose and prescribed benchmark is 'good'.

iii. **Promotion to Selection Grade:** A Gr. 'A' officer working in JAG can be promoted to Selection Grade when he has entered 14 years service on the first of the January of the year of the consideration calculated from the year following year of the examination. Full board is the DPC for this purpose and prescribed benchmark is 'good'.

iv. **Promotion to SAG**: A Gr. 'A' officer working in Selection Grade can be promoted to SAG when he has completed minimum 17 years service in Gr. 'A'. Full board is the DPC for this purpose and prescribed benchmark is 'very good'.

Recruitment through Railway Recruitment Board under control of Railway Recruitment Control Board (RRCB)

Early Beginning:

First time in July 1942, as an experimental measure, a Service Commission with a Chairman and two members was established for recruitment of Subordinate Staff on the then North West Railway. The position was reviewed in 1945 and Services Commissions at Bombay, Calcutta, Madras and Lucknow were set up under Railway Board. These Commissions were introduced with two fold functions of recruiting class III staff and also tender advice to General Managers for dealing with appeals from subordinate staff on disciplinary matters.

Later Developments:

In 1948, the Indian Railway Enquiry Committee reviewed working of commissions. While recommend-ing their permanency, suggested that the work related to appeals should be withdrawn so that commission can give undivided attention to recruitments. Chairman Bombay Service Commission was given the supervisory role to Supervise Commissions at Calcutta, Lucknow and Madras, In 1949, due tofinancial constraints a ban was imposed on recruitments on Indian Railways thus numbers of commissions was reduced to one centrally located at Bombay.In 1953-54 when Economic conditions of Indian Railway improved, four service commission were again set up at Bombay, Madras, Allahabad and Calcutta. In 1956, theEstimates committee generally approved the method of recruitment by the constitution of the Railway Service Commissions. In 1973 to cater the needs of the Northern Eastern Railway and to facilitate recruitment from the under developed areas of that region an additional commission was set up at Muzaffarpur. In the same year a branch office of Calcutta Service Commission was opened at Ranchi. In 1978 one more additional Service Commission was set up at Secunderabad to cater for the needs of newly formed South Central Railway. Recruitment of staff for the needs of NF Railway was still being done through recruitment committee control by NF Railway . Thus in 1978 this job was entrusted to full fledged service commission with Head Quarters at Guwahati. Yet another service commission was opened in 1980 at Bangalore to cater for the needs of candidates from remote backward areas of Karnataka. In 1981 full-fledged service commission was opened at Danapur.

Creation of additional Service commissions

In 1983 to cater for needs of areas which were getting neglected due to locations of the existing commissions, seven more commissions were set up at Ahmedabad, Ajmer, Bhopal, Bhuvneshwar, Chandigarh, Jammu & Srinagar with sitting at Leh and Trivendrum. In 1984 two more service commissions were set up at Malda and Gorakhpur and a full-fledged commission at Ranchi was set up to cater for exclusive needs of Scheduled tribes of the area

Re-naming as Railway Recruitment Board:

In January,1985 Railway Service Commissions have been renamed as Railway Recruitment Boards (RRBs). At present 20 Railway Recruitment Boards are functioning.

Railway Recruitment Control Board (RRCB):
Railway Recruitment Control Board (RRCB) was set up in 1998 in the Ministry of Railways (Railway Board) with the objectives of

- Formulation of policy in regard to recruitment procedures
- To monitor the activities of all Railway Recruitment Boards (RRBs) including expenditure incurred for recruitment
- To evaluate the performance of RRB's and advise them on priorities as required
- To organize a management information system for monitoring work done by RRB's

RRCB comprises of the following:

Designation	Post held
Member (Staff), Railway Board	Chairman
Additional Member (Staff), Railway Board	Member
Advisor (Vigilance),Railway Board	Member
Executive Director Establishment (RRB), Railway Board	Secretary

Executive Director Establishment (RRB), Railway Board is full time Officer.

RAILWAY RECRUITMENT BOARDS

TOTAL NO. OF RRBS-20
Each RRB generally consists of 1. Chairman
2. Member Secretary
3. Secretary/Assistant Secretary

Appointments in RRBs:

Chairman Railway Board appoints an SAG grade Railway Officer as chairman in RRB.

Member Secretary 3 JAG/SG grade Railway officers names are recommended by General Manager of concerned Railway, which belongs to the RRB Geographically. Railway Board selects one out of these officers and posts in RRB.

General Manager of concerned Railway, which belongs to the RRB Geographically, recommends Asst. Secretary One Jr. Scale Railway officers name. Railway Board approves for posting in RRB.

Other Non-Gazzated The willing group 'C' and 'D' staff of adjoining Railway/Chairman scrutinizes Division/Workshop/Railway Units To post-suitable staff for 5 years tenure. Hence one-fifth NG staff is replaced every year.

Note:- 1) Some time Secretary of Sr. Scale is posted as like Asst. Secretary.
2) The tenure of Chairman is 3 years. For other officers as per norms Fallowed in Railways in other cases.

RRB calls for eligible applicants through "Employment News" (A publication of the Government of India). The employment notification is also published on the Internet web site. The applications are scrutinized for eligibility. The eligible candidates are called for a written examination with call letters being sent a month in advance of the date of the examination. In most of the categories of jobs, there is no interview after the written examination. In some categories, there will be a second stage written examination. In categories related to operational safety, there will be a psychological test. The application-details furnished by successful candidates are verified and they are called for counseling and scrutiny of original documents**. A panel of names is then recommended to the concerned railways to theextent of vacancies**. The candidates will be required to pass a medical examination before appointment. The results of selection at every stage will be made available on the Notice Board of RRBs in "Results" through the Internet website to the successful candidates through post.

The selection process is based on merit and is subject to the rules and regulations issued by the Ministry of Railways (Railway Board), Government of India which includes reservation of jobs for certain castes/communities such as Scheduled Castes (SC), Scheduled Tribes (ST), Other Backward Communities (OBC), etc. Ex-servicemen are also entitled for reservation as per the rules. The entire computerized recruitment system functions impersonally without fear or favour. There is no scope for corruption, influence or discretion in this process. Candidates indulging in malpractices and unfair means are dealt with strictly.
Railway Recruitment Control Board, New Delhi, lays down the overall policy guidelines for all Railway Recruitment Boards in India.

There is provision for direct recruitment of staff in Group 'C' categories through RRB and in Group 'D' lowest category through RRC.

No direct recruitment can be done in the intermediate categories unless prior approval from Railway board has been obtained.

In case the quota of SC/ST cannot be fulfilled through RRB and there still exists the deficiency of SC/ST, direct recruitment can be resorted to, with the approval of GM. For this purpose, sufficient reasons have to be recorded before resorting to direct recruitment.

Screening of Casual Labour and Substitutes

This is an adhoc procedure for empanelment of the staff in Class 'D' categories by screening the working casual labour and substitutes. Those casual labour/substitutes who have completed 120 days service, whether on projects or elsewhere are eligible for screening through Screening Committee duly constituted and nominated by competent authority.

The Screening Committee consists of 2 officers - one departmental officer and the other a Personnel Officer. One of the two officers should be from the reserved community.

While screening persons, the names of casual labour and substitutes are arranged according to the total length of service put in by them.

Casual labour who have put in four months' continuous service but who have over 120 days' service in broken periods may also be screened if in the seniority list of casual labour maintained in the unit their juniors become eligible and come up for screening.

In case sufficient number of reserved community candidates to fulfill the roster points are not available, then according to the extent orders the committee can resort to direct recruitment.

The panel thus formed is approved by the competent authority and is notified after its approval. The panel remains current until it is exhausted.

Appointment on Compassionate Ground

Appointment on compassionate ground can be done both in Class 'C' and Class 'D' categories in recruitment grades under the powers of CPO and DRMs respectively. Priority for appointments on compassionate ground is as under:

i. Dependents of employees, who die or are permanently crippled in the course of duty;
ii. Dependents of employees, who die in harness as a result of railway accidents when on off duty;
iii. Dependents of the employees who die in service due to natural causes/prolonged illness or are permanently medically incapacitated.
iv. When an employee's whereabouts are not known for a period of one year.

Compassionate ground cases appointment can be considered in regard to the employees of Gr.A,B,C & D as per genuine ness and merit of case. But appointment is given in recruitment grade in group C & D only.

Relaxation in age can be given freely in upper age and 1 year in lower age with approval of of competent authority.

i. One child/widow may be appointed on compassionate grounds without any 'means', irrespective of whether any other son is already earning.
ii. No qualification higher than the minimum prescribed in the general recruitment rules should be adopted to screen out candidate for compassionate grounds.

Appointment against Sports quota

Direct appointments can be made against the Sports Quota by each railway during a calendar year in the following manner:

Annual quota for recruitment of sports person in Gr. C & D

Rlys./Pus	**Open Advt. Rlys./Pus quota**	**Talent Rly.Pus quota**	**Scouting RSPB's quota**	**Total**
Gr. C				
A. NR / WR	20	14	6	40
B. CR/ER/SCR/ SER/SR	15	10	5	30
C. NER/NFR	9	6	3	18
D. ICF / DLW	6	4	2	12
E. CLW/DCW/RCF/ WAP / Metro/CC	3	1	1	5
Gr. D				
A) Each div/Hq of rly.	2	1	1	4
B) ICF/DLW	5	3	2	10
C) CLW/DCW/RCF/ WAP/Metro/CCC,RDSO	3	1	1	5

The quota cannot be carried forward. The appointment against sports quota has to be made only to candidates who are outstanding players and/or who have taken part in the international or state events.

Appointments on the grounds of Cultural & Artistic Talents

General Manager is empowered to give appointments to the extent of 4 persons in a year either in Group 'C' or 'D' category on account of outstanding performance in cultural and artistic activities. Two appointments can be done for Scouts & Guides.

Appointment of Physically Handicapped

Physically handicapped can also be given appointments in Group 'C' or Group 'D' to the extent of 15% of recruitment in earmarked categories. In their cases also the relaxation of 5 years in age limit is allowed. The 3 % (i.e. 1% in each group blind, deaf & dumb, orthopedics) of the total recruitment made during the year in group 'C' and Gr. 'D' are recruited from physically handicapped person and appointed according to their handicap ness following the norms issued by Ministry of rehabilitation

Appointment of Mechanical Apprentices

Direct recruitment in Group 'C' supervisory category is done by recruitment of Mechanical Apprentices. The training of Mech. Apprentices is for a period of 2 ½ years.

Chapter –3

Industrial Relations

Permanent Negotiating Machinery

Shri V.V.Giri founded it in the year 1951 when Shri Lal Bahadur Shastri was the Railway Minister.

With a view to maintain contact with organized labour and resolve disputes and differences arising between organized labour and the Administration, a machinery was set up, is called “Permanent Negotiating Machinery”.

The meetings between the organized labour4 and the Railway Administration are arranged in three tiers, viz.,

(a) Railway level
(b) Railway Board level, and
(c) Ad hoc Tribunal level.

Under (a) above, the organized labours have access to the District, Divisional, Workshops and Headquarters Officer of a Railway Administration including the General Manager. Thus at Railway level, there are further three levels, i.e. at Headquarters level, (b) Divisional level & (c) Workshop level. The details of different levels are as under:

Levels	Chairman	Secretary	Meetings	Details
Hqrs.	G.M.	P.C.P.O.	Once in three months and often if necessary	1. Separate meeting with each recognized union 2. Prior approval of GM is necessary for items to be discussed. GM can discuss any item without notice. 3. Individual cases not permitted to be discussed In the absence of GM, CPO will be Chairman
Divl.	DRM	Sr. DPO	Once in two months	1. Total number of persons for discussion from union side should not exceed 20. Not more than two persons from each branch. 2. Every branch should not discuss more than 6 subjects 3. Individual cases will not be discussed but DRM can discuss without notice.

Railway Board level - All matters which could not be settled at Railway level and (b) concerning pay scales and allowances would be discussed at this level.

Meetings:

1. Separate meetings with AIRF and NFIR and Railway Board and should be once in a quarter.
2. No limit of subjects and number of Union members for discussion. Dy. Director Establishment should decide it.
3. Chairman = Member Staff
4. Secretary = Director (Estt).

Ad-hoc Tribunal Level - Matters of important nature on which no agreement is reached are put up to Ad hoc tribunal.

Chairman = Retired Judge of Supreme or High Court. He shall be having his own staff.

Representatives = Equal number of representatives of Labour and the Railway Administration.

An award is given which is not binding on the government. It is open to Government to accept, reject or modify the decision of Tribunal. Matters settled by agreements or decisions accepted by Government will not again be raised within period of two years. In case the Government has rejected or modified the decision of Tribunal, the matter can again be raised only after a year.

2. Joint Consultative Machinery

With a view to have harmonious relations between the Government (Employer) and its employees in the matters of common concern and with the object of further increasing the efficiency the Government of India have established a machinery known as Joint Consultative Machinery and Compulsory Arbitration. The CD councils may discuss matters relating to condition of service, welfare of the employees and improvement of efficiency and standard of work. No individual cases can be considered by the Councils and in regard to recruitment, promotion and discipline, the councils are to restrict their deliberations to the matters of general principles only.

Joint Consultative Machinery works in three tiers viz., National Council, Departmental Council and the Regional Council. The details are as under:

Particulars	National	Departmental	Regional
Chairman	Cabinet Secretary	Member Staff	Head of Region
Members (Staff side) Official Members	24	10	Depends on No. of staff
Staff (Unions) Deals	60 Central govt.	30 Particular	-do- Within Region

	employees	Ministry	

The Departmental Council is required to meet once in four months to discuss subjects on the agenda, which should be circulated not less than 30 days before the meeting; business not on agenda can also be put up with the permission of Chairman. Any matter disposed of is not to be placed on agenda again during the following 12 months. If there is no agreement between the two, the matter is referred to Board of Arbitration in which the Government appoints three members. The Chairman shall be an independent person. For members three panels are formed and one person is selected from each panel. **Once judgment or award is declared, it is binding on bothparties**. Only Parliament can change the decision, otherwise, it cannot be touched and remain in operation for period of three years.

3. A Comparison of the basic features of Permanent Negotiating Machinery and Joint Consultative Machinery (PNM & JCM)

(a) The PNM started functioning on Railway in 1951. Under the JCM, the National Council started working in 1966 and the Departmental Council in 1968.

(b) PNM and JCM function in three tiers and both the Scheme are non statutory in character.

(c) Under the PNM, a wide range of subjects can be discussed but each tier is expected to dispose of matters falling within its purview and those, which are not resolved, are taken over to next tier. Under JCM, subject relating to general conditions to service and work and welfare of employees, may be discussed. Where a matter concerns only one department, it should be discussed and decided at Departmental Council, and where the matter concerns more than one department, it can be discussed only at National Council level.

(d) Under the PNM, matters of importance remaining unsolved during the discussions between the Federations and the Railway Board may be referred to an ad hoc Tribunal to be appointed by Government. Under the JCM, however, matters unsolved at the National Council or the Departmental Council are referred to Compulsory Arbitration from each Council independently when the disagreement relates to matters affecting pay and allowances, weekly hour of work, and leave of a class or grade of employees.

(e) Under the PNM, recommendations of the ad hoc Tribunal are not binding and the Government may accept, reject or modify the recommendations. Decisions of the Tribunal accepted by Government remain in operation for 2 years. Under the JCM scheme, recommendation of the Board of Arbitration are binding on both sides, subject only to the overriding authority of Parliament, and ordinarily remain in operation for a period of three years.

Corporate Enterprise Group (Now called PREM)

In order to have better and systematic participation of labour in Management for improvement in working of Railway system and appropriate changes for improving efficiency and viability, a Corporate Enterprise Group was set up at Central level in Ministry of Railways in the year 1972 specifically to provide for a free flow and exchange of ideas on the running and shaping of the enterprise of Railways. This group consists of Chairman, members and Secretary of Railway Board on one

hand and on the other hand three representatives each of the National Federation of Indian Railways and All Indian Railway men's Federation and one representative of the Officers' Federation.

It was felt that the labour leadership, with its wide-base of communication at the grass roots would be able to provide access to view points at the working level and enhance contribution to the corporate efforts by reciprocally interpreting down the line, and broader aspect and objectives of the functioning of the organization. This would also tend to dispel any possible atmosphere of secrecy and distrust, which may at present be attributed to the functioning of top management.

The broad objectives of the Corporate Enterprise Group are to—

a) Evaluate the functioning of the Railways and exchange data and ideas on ways and means for improving the efficiency and viability of the enterprise;

b) Apprise the investment programme, particularly in regard to housing and welfare services;

c) Identify areas and devise action-oriented methods for maximizing organizational effectiveness, the use of technology and towards building up the image of the Railways as a service organization.

Staff matters including those, which come within the purview of the Permanent Negotiating Machinery and Joint Consultative Machinery, are not to be discussed by the Corporate Enterprise Group.

Corporate Enterprise Group has been set up on Zonal Railways from 15.7.1977 (Bd's letter No.E(LL)77WMP/2-1 of 29.6.1977) to achieve the above objectives. At Zonal Railway level "CEG" consist of three representatives of each of the recognized Unions affiliated to AIRF and NFIR and one representative of the Association affiliated to the All India Railway Officers Federation. The official side is consisting of the General Manager and the Heads of Departments of the Railway, and—

(i) Those who are actually working on the Railway should be nominated to the Zonal CEG.

(ii) The Zonal CEG once formed shall function for a period of two years.

(iii) The GM shall be its Chairman and CPO shall be the Secretary

(iv) The Zonal CEG shall meet at least once in every two months.

A quarterly narrative appreciation in regard to the functioning of the scheme shall be sent to Railway Board within 15 days following the quarter to which the report relates.

Trade Unions Act, 1926 (amended in 1947)

A trade union is a continuous association of wage earners for the purpose of maintaining and improving the conditions of workers and their lives.

Beginning of Union in India with brief history - In the year 1875, Sorabji Shapurji started a labour agitation in Bombay against appalling conditions of workers especially women and children in factories. Between 1882 to 1890, about 25v strikes were recorded in Madras and Bombay alone. In 1890, N.M. Lokhandey had started labour movement in India and formed "Bombay Milhand Association." He had also started English Newspaper known as "Deen Bandhu". In 1891, Factory Act was passed to improve the conditions of workers. From 1904 to 1911, a common society of Railway men of India and Burma was formed.

P.B. Wadia had started labour movement in 1918 in Choolie near Madras. He was working in Buckingam and Karnatic Mills as worker. He was removed from service for his having participating in political affairs. The name of the union was kept "Madras Labour Union". Within the period of one year, the Union had its four branches consisting of 20,000 members.

In 1971, Miss Ansuiya Sarabhai, a social worker had organised workers and strike at Ahmedabad. In 1920, Mahatma Gandhi had founded Spinning and Weavers Association at Ahmedabad Textile Mill. From here the labour took good turn. Mr. Miller had formed ASSOCIATION of Railway worker in Punjab in 1920. Lala Lajpat Rai founded important name "All-India Trade Union Congress" in 1920. In 1922, All India Railway men Federation were founded. In 1926, the Government passed the Trade Union Act and prior to this they unions were not recognized. In 1940, Government instituted an enquiry in regard to India Trade Union Congress in order to know the activities of union. In 1946, Indian National Trade Union Congress was formed.

Factors responsible for the growth of Trade Unions --

a) Economic conditions due to First World War
b) Many soldiers returned home and needed jobs
c) Due to growth of many leaders and Social reformers
d) Due to International Labour office in India
e) Success of Russian Revolution

Unions in India –

1. All India Trade Union Congress (AITUC) (by Communist)
2. Indian National Trade Union Congress (INTUC) (by Congress)
3. Hind Mazdoor Sabha (Socialist)
4. Bharatiya Mazdoor Sangh (Jansangh)
5. United Trade Union Communist (Communist)
6. Central Trade Union
7. All-India Railwaymen's Federation

8. National Federation of Indian Railwaymen and
9. Bharatita Railway Mazdoor Sang

Union on Railways

a) National Railway Mazdoor Union connected items 1 & 7 above.

Functions of the Trade Unions

The functions can be divided in following three categories:

1. **Intra Mural Function:** Within the walls, adequate wages and allowances, better conditions of work, to reduce the hours of work. Adopted methods: Strikes, collective bargaining, negotiations and boycotts.
2. **Extra Mural Function:** Strikes, Demonstrations, helping the workers at the time of distress in strikes and lockouts, Running schools, libraries, canteens, indoor and outdoor games.
3. **Political Activities:** Taking active part in politics. This is not allowed in India.

Advantages of Trade Unions

a. A boon for working class
b. Brings all-round improvements in working conditions
c. Brings industrial peace
d. Safeguards against the possibility of exploitation of the workers

Disadvantages

a. Workers go on strike on flimsy grounds
b. Hostile attitude towards improvement and improved method of production
c. Go slow policy reduces the national income
d. Creates artificial scarcity of labour

Salient feature of the Trade Union Act, 1926

1. This Act was passed in 1926 to be implemented from 1.6.1927
2. Any seven or more persons can form an Association and get registration
3. The registrar can withdraw or cancel the registration of Union
4. Legal protection shall be given to Union office-bearers against criminal proceedings but that must be for union work only
5. The Union may raise separate funds other than subscriptions on purely voluntary basis for promotion of social or political interest
6. Unions are to define their aim and objects for its constitution and maintain and get audit of accounts
7. The Registrar can inspect the accounts and the union's books at any time
8. If a union(s) indulges in

a. Unfair practices
b. Go for irregular strike or
c. Submit false statements, the punishment would be total withdrawal of recognition

And If employer

a. Interferes in the working of union
b. influences for against the union
c. discriminates with any officer of the union or
d. refuses to negotiate or deny privileges to union,

he/she is liable to be fined to the extent of Rs.1000/-.

9. Rights and liabilities of trade union and the purpose for which the union fund may be utilized have been defined in the Act.

Privileges/facilities given to Unions by Railways

1. Through Permanent Negotiating Machinery certain staff
2. Through Joint Consultative Machinery, Government as a whole
3. Staff Benefit Fund (membership or representatives)
4. Participation through Labour Advisory Committee
5. Staff Committee (at certain important stations)
6. Issue of card passes to union workers
7. Special casual leave and passes for attending meetings
8. Railway provide land for building or accommodation on rental basis for office and also provide telephones
9. Sanction to hold meeting on Railway ground with prior approval
10. Space for notice at Railway premises
11. Supply of copies of Railway Board's letters
12. Collection of subscriptions of unions on pay day, 20 yards away from the pay counter
13. Union office bearers cannot be transferred unless two months' notice has been given
14. Foreign service contribution towards pension/PF/Gratuity by recognized unions/Federations shall not be realized for:
    a. Two persons in case of each recognized federation
    b. Two persons in case of each recognized unions at zonal level and
    c. One person in each division of Railway for each recognized union

Dealing with unrecognized Unions/Associations

Unrecognized Unions are those, which are though registered under the Indian Trade Unions Act, 1926, but are not recognized by the government.

In dealing with such unrecognized Unions, it is the policy of the Government not to have meetings with them and communications received from them are neither replied nor acknowledged. However, the grievances of staff received from any quarter including from these unions should be dealt with in proper manners at appropriate level.

Matters raised through correspondence by SC/ST Railway Employees' Associations, in regard to reservations, recruitments, promotions and other grievances of SC/ST employees shall be acknowledged and dealt with advising them the benefits granted by the Government.

Recognition of Associations or Unions

Grant and continuance of recognition rests in the discretion of Government, but recognition when granted will not be withdrawn without due cause and without giving opportunity, to the association to show cause against such withdrawal.

Recognition will not ordinarily be granted or continued to any association unless it complies with the following conditions:

i. It must consist of a distinct class of railway servant and must not be formed on the basis of any caste, tribe or religious denomination or of any group within or section of such caste, tribe or religious denomination.
ii. All railway servants of the same class must be eligible for the membership
iii. It must be registered under the Trade Unions Act.

Staff Grievances

Indian Railways being the largest Public and National enterprise are looking after their prime responsibility of welfare of staff with a view to bring improvement in the employees and to protect their legitimate interest and rights by redressing their genuine grievances.

In short, the grievances of railway employees could be either from management policy or from working conditions of the railway employees. Thus, grievances can be attributed to either general or individual nature.

Grievances of general nature which are of common interest of the employees are seniority, promotions, transfers, payment of wages and overtime, housing, medical sanitation, schools, holiday homes, institutes or accommodation. These grievances are discussed with the leaders of the Tirade Unions in the Permanent Negotiating Machinery at the appropriate level and if not settled at the zonal level, these are referred to AIRF/NFIR for settlement. In case there is still disagreements the matters can be referred to Adhoc Tribunal, where an award is given which is not binding on any of the representatives. It is open to Govt to accept or reject or modify the decision of the Tribunal. Unions shall not open matters settled again for the period of two years. Where the Government have rejected or modified the matters can again be raised at the end of the year.

The matters relating to condition of service, welfare of the employees, improvement of efficiency and standard of work are discussed in the meeting of Joint Consultative Machinery and councils shall entertain no individual cases. If there is no agreement between JCM and Railway Administration, the matter is referred to Board of Arbitration and the final outcome is binding on both the parties. Only Parliament can change the decision.

The individual grievances are normally redressed by the Welfare Inspectors or by representation to the concerned official, through proper channel. In the case of dissatisfaction, representation can be made to the highest authority through proper channel. As per procedure in vogue, the representation from staff should be replied within a period of one month's time.

Labour Inspectors of Central Government have also to visit Workshops, Stations, Yards and other units to get the information in regard to working hours, periodical rest, non-payment of wages and overtime. They submit their inspection notes to the concerned Railway authority for compliance. The railway authorities have to attend the grievances of staff and genuine grievances are redressed under intimation to the Regional Labour Commissioner. Regular meetings are also held between Railway Administration and Labour Enforcement Officer in order to review the grievances reported by LEO and action taken to redress the same.

Chapter – 4

HOURS OF EMPLOYMENT REGULATIONS AND PERIODIC REST

1. Evolution of Hours of Employment Regulations

The Hours of Employment Regulations includes:

(a) Statutory provisions incorporated in the Chapter XIV of the Indian Railways Act, 1989.

(b) Railway Servants (Hours of Employment) Rules, 1931.

(c) Railway Servants (Hours of Employment) Rules, 1961.

(d) Railway Board's Subsidiary Instructions on the above Rules, and

(e) Instructions issued by the Railway Board consequent on the acceptance of the recommendations of Railway Labour Tribunal, 1969.

The Indian Railways Act of 1989 and the Railway Servants (Hours of Employment) Rules 1961 have the statutory force.

The Hours of Employment Rules apply to all the Railway servants including Casual Labourers and Substitutes except those who are brought under the -

(a) Factories Act,
(b) Indian Mines Act,
(c) Minimum Wages Act and
(d) Indian Shipping Act.

Rules were incorporated in the Indian Railways Act, 1890 by an amendment in the year 1930 to regulate the Hours of Employment and the periodic rest of the Railway workers. This was done to fulfill the obligations undertaken by the Government of India due to the deliberations made in the Washington and Geneva Conventions which were sponsored by the International Labour Organization. In the year 1931, Rules were issued on the Hours of Employment Regulations by the Governor General-in-Council of India based on the Chapter VI-A of the Indian Railway Act 1890 as amended.

The Government of India based on the representations received for the modification of the said rules appointed the Hon'ble Mr. Justice G S Rajdhyaksha, ICS, for adjudication into the matter. The recommendations of the adjudicator were accepted and the Railway Servants (Hours of Employment) Rules, 1961 were issued.

Later, Shri N M Mabhoy, Retired Chief Justice, High Court of Gujarat, was appointed as Chairman of the Railway Labour Tribunal 1969 to adjudicate on certain points referred by the NFIR and his decisions were accepted. Orders were issued

by the Railway Board on the revision of the rules as recommended by the Railway Labour Tribunal 1969 in regard to the hours of work, payment of overtime allowance etc., to take effect from 01/08/1974.

In exercise of the powers conferred in by the Indian Railways Act, the Central Government made the "The Railway Servants (Hours of Employment) Rules".

1

RAILWAY SERVANTS (HOURS OF WORK AND PERIOD OF REST) RULES, 2005

(The earlier rules regulating the hours of work and rest of the Railway servants called "Railway servants (Hours of Employment) Rule 1961 and any orders issued there under in so far as they were inconsistent with revised rules have been repealed and revised rules called
"The Railway Servants (Hours of Work and Period of Rest) Rules, 2005 have been made, which are printed hereunder).

MINISTRY OF RAILWAYS
(Railway Board)
New Delhi, the 28th February, 2005

RBE No : 131/2005, No.E(LL)2001/HER/9, New Delhi Dated: 09-08-2005

G.S.R.75,28th February, 2005:- In exercise of the powers conferred by section 136 of the Railways Act, 1989 (24 of 1989), the Central Government hereby makes the following rules, namely:-

PART-1

1. Short title, commencement and application-

(1) These rules maybe called the Railway Servants (Hours of Work and Period of Rest) Rules, 2005.
(2) They shall come into force on the date of their publication in the Official Gazette.
(3) They shall apply only to those railway servants to whom Chapter XIV of the Act applies.

2. Definitions:-

In these rules, unless the context otherwise requires,-
(a) 'Act' means the Railways Act, 1989 (24 of 1989).
(b) `full-night' means the period between 10.00 p.m. and 6.00 a.m.;
(c) 'long-on' means a period of duty over eight hours in the case of 'intensive' workers, over ten hours in the case of 'continuous' workers and over twelve hours in the case of 'essentially intermittent'workers;
(d) 'Ordinary rate of pay' includes-
(I) pay as defined in rule 1303 (F.R. 9) of the Indian Railway Establishment Code Volume-11 (1990Edition) and includes element of running allowance to the extent of 30 per cent of basic pay in thecase of running staff as defined in Rule 1507 of the aforesaid Code,
(ii) Dearness Allowance, Additional Dearness Allowance and Dearness Pay, if any, and
(iii) Compensatory (City) Allowance;
(e) "Railway servants employed in confidential capacity" includes-
(i) stenographers working either in a separate confidential cell or attached to the officers in
Administrative offices,
(ii) cypher operators,

(iii) confidential Assistants and Personal Assistants, and
(iv) any other railway servant who may be so specified by the Head of the Railway Administration to have been employed in confidential capacity;
(f) 'Regional Labour Commissioner' means an officer appointed as such by the Government of India inthe Ministry of Labour, by notification in the Official Gazette.
g) 'Roadside station' means a station other than-
(i) an important junction station,
(ii) a station with marshalling yard,
(iii) an important terminal station,
(iv) a station from which trains are ordered as a regular measure, and
(v) a station where a separate goods office under a supervisory Goods Clerk, in the grade ofChief Goods Clerk or of higher rank sanctioned on the basis of workload in that Goods Office has been provided :
Provided that the Head of the Railway Administration or the authority to whom he may
delegate this power, may draw up a list of road-side stations keeping in view the above
definition.
h) 'Roster' means a document which shows the hours that a railway servant expected to be on duty every day, the daily as well as weekly rest and break between spells of duty in a day besides other necessary particulars;
(i) 'running staff' means the staff who are defined to be so in Rule 1507 of the Indian Railway Establishment Code, Volume-II (1990 Edition);
(j) "section" means a section of the Act;
(k) 'short off' means a period of rest which is-
(i) in the case of intensive workers :-
(A) less than 12 hours in a roster of six hours duty, and
(B) less than 14 hours in a mixed roster of 6 and 8 hours duty,
(ii) in the case of continuous worker—less than 10 hours,
(iii) in the case of essentially intermittent workers - less than 8 hours,
(l) 'split duty' means duty in two or more spells with intervening breaks each of half or more hour
necessitated by exigencies of work and when the employee is free to leave his place of duty. Intervals for rest and meals shall not breaks for the purpose of split duty;
(m) 'sustained attention' as used in clause (b), section 130 implies mental effort
Explanation:— A Pointsman waiting for the arrival of a train after setting points is required to give sustained attention. Similarly, a Station Master or an Assistant Station Master is generally required to pay sustained attention from time he gives line clear to the Station in rear till the time the train arrives and again from the time the line clear is asked for to the time the Block Section ahead is cleared. Wherever circumstances justify a different treatment, the period involving sustained attention may be decided by the Controlling Authority. In case of any doubt, the decision of the Head of the Department shall be final.
(n) All other words and expressions used but not defined in these rules shall the meaningsrespect ively assigned to them in the Indian Railway Establishment Code or the Act.

PART- II

CLASSIFICATION OF EMPLOYMENT AND HOURS OF WORK

3. Prescribed authority to classify the employment of railway servant.—

(1) The power to declare the employment of railway servants as 'intensive' or essentially intermittent 'within the meaning of section 130 shall vest in the Head of the Railway Administration : Provided that the Head of the Railway Administration may, in his discretion, delegate the power vested in him under this sub-rule to the Principal Chief Personnel Officer:
Provided further that during the period of emergency such as flood, accident, the power vested in the competent authority can be exercised by an officer not below the rank of senior scale.
(2) A copy of every declaration made by the prescribed authority under sub-rule (1) shall, as soon as may be, sent to the Regional Labour Commissioner concerned and, in case the declaration is made by an officer other than the Head of the Railway Administration, to the Head of the Railway Administration or the Principal Chief Personnel Officer, as the case may be.

4. Appeals against classification.--

(1) Any railway servant aggrieved by the declaration of classification made under rule 3 may, with in n inety days from the date of such declaration, prefer an appeal to the Regional Labour Commissioner, who,after scrutiny of relevant documents or if considered necessary, after a fresh job analysis, may order for a change in the classification.
(2) Any railway servant or Railway Administration aggrieved by a decision of the Regional Labour Commissioner may, before the expiry of ninety days from the date on which the decision of the Regional Labour Commissioner is communicated to him, prefer an appeal to the Secretary to the Government of India in the Ministry of Labour who will dispose it off after hearing the parties concerned.

5. Supervisory staff.

(1) The Ministry of Labour shall, by order in writing, specify the railway servants or classes of Railway servants who shall be treated as supervisory staff under sub-clause (iv) of clause (c) of section 130 on the ground that the Railway servant holds a position of responsibility, is employed on duties mainly of as supervisory character and is, from the nature of his work and position, comparatively free to adjust his hours of duty or work during such hours :
Provided that the railway servants who on the date of publication of these rules are treated as supervisory staff under these rules shall continue to be treated as such until the orders specifying the railway servants or classes of railway servants as supervisory staff is issued under this sub-rule.(2) A copy of every such order issued under sub-rule (1) shall be furnished to the Chief Labour Commissioner (Central), New Delhi.

6. Excluded staff.-

The following categories of staff of the Health and Medical Department shall be treated as 'Excluded' under sub-clause (v) of clause (c) of Section 130, namely :—
(a) Matrons:
(b) Sisters-in-charge;
(c) Midwives who are not posted on regular shift duty in Railway Hospitals
(d) Health Educators and District Extension Educators (Male and Female)
(e) Family Planning Field Workers (Male and Female);
(f) Lady Health Visitors;
(g) Auxiliary Nurses-cum-Midwives;
(h) Projectionists.
In addition to the above, the Ministry of Railways may, by order in writing, specify any other category of railway staff in any of the Departments of the Indian Railways

who shall be treated as 'Excluded' on the consideration that such staff are available on call.

7. Criteria for determining classification of railway servants-

(1) Continuous : All employments of Railway servants except those exclude: from the purview of Employment Regulations are assumed to be `Continuous'. Thereafter, on the basis of factual job analysis, the employment may be classified either as 'intensive' or 'essentially intermittent', as the case maybe

(2) Intensive : The two important factors in declaring an employment as `Intensive' under clause (d)of section 130 of the Act are :—

(i) strenuous nature of the work tending to cause mental or physical strain; and

(ii) continuous application to such work with little or no periods of relaxation

Explanation I:- The term' continued concentration' in clause (d) of the Section 130 is intendedto convey that the attention demanded of the Railway servant concern&:: for a particular nature of job should be exclusive not to allow any other thought or idea to enter the mind and must be of such nature as to cause strain(physical or mental or both) upon the Railway servant concerned as a result of continuous application to such work over certain period without reasonable periods of respite. Thus, having regard to the entire period of duty and nature of work, the prescribed authority shall before declaring any employment as 'Intensive', satisfy itself that the above factors are present in the job concerned. In other words, the prescribed authority shall consider whether the job is of such a character that it demands continued concentration without any reasonable periods of relaxation.

Explanation II:- Factor (ii) should be considered to have been satisfied where the periods of

rest, inaction or relaxation do not aggregate 6 hours or more in a cycle of 24 hours or one hour or more in a shift of 8 hours.

(3) Essentially Intermittent: The work of an employee is to be regarded as essentially intermittent' if his daily duty hours which should be assumed to be twelve hours per day include

(a) one period of inaction of not less than one hour, or two such periods of not-less than half an hour each, and

(b) various periods of inaction including the period of inaction specified in clause (a) aggregating 50 per cent or more, during which he is not generally called upon to display either physical activities or sustained attention.

Note : In assessing the work-load of the 'essentially intermittent' classification in accordance with

sub-section (b) of Section 130, periods of inaction of less than 5 minutes shall be ignored.

8. Fixation of hours of work.

The hours of work of a Railway servant as per roster (hereinafter referred to as the rostered hours of work) may be continuous or may have short interval for rest, or breaks due to exigencies of service or deployment.

(1) Subject to the limit specified in section 132 and having regard to the requirement of the

service and the nature of work, the Railway Administration shall fix the normal rostered hours of work for the various categories of railway servants in the manner indicated in these rules.

(2) The rostered hours of work of Railway servants shall consist of-

(i) standard hours of duty;

(ii) additional hours as may be prescribed in the case of certain categories classified as
essentially intermittent; and
(iii) time required to do preparatory or complementary work or both for those who are required todo such work.
(3) The standard hours of duty for different classes of employment of Railway servants shall be as under : -
(a) Intensive 36 hours a week;
(b) Continuous 48 hours a week; and
(c) Essentially Intermittent 48; hrs in a week
(4) (a) Railway servants having essentially intermittent class of employment shall be called upon
to work as per rule 8(2)(ii) additional hours as indicated below :
(i) Gatemen 'C' Caretakers of Rest Houses and Reservoirs, etc., Chowkidars and Saloon Attendants
(ii) Railway servants posted to work in Essentially Intermittent employment at road-side
stations and provided with residential quarters with 0.5 Kms. from their place of duty
(iii) Rest of the employees posted to work in Essentially Intermittent class of employment –12 additional hours per week.
(b) Such additional hours of work shall be reflected in the duty rosters of the Railway servants concerned.
(5) The time required by various categories of staff to do preparatory or complementary work
or both, which includes the work of handling over and taking over charge, must necessarily be carried out outside the limits laid down for general working of an establishment, branch or shift and shall be determined by means of job analysis of such work in respect of representative posts in respective categories.
(6) The time determined under sub-rule (5) shall be added to the standard hours of duty of the
staff in all the various classifications subject to maximum limit prescribed below:-
(a) when employment is intensive 3 hours a week:
(b) when employment is continuous 6 hours a week
(c) when employment is essentially intermittent : -
(i) Gatemen 'C' Caretakers of Rest Housesand Reservoirs, Chowkidars, SaloonAttendants and those posted atroad-side stations and provided with residential quarters within 500 metres from their place of duty 3 hours a week:
(ii) Railway servants other than those mentioned in sub-clause (i) 4-1/2 hours a week
(7) ***The time required for preparatory or complementary work by the running staff*** **s**hall be
deemed to be 4 hours a week.
Notes: (i) Where the time assessed for doing preparatory or complementary work is under 15 minutes perday, the same shall not be treated as duty shall not be exhibited in the roster.
(ii) In the case of employment of continuous' nature, the time assessed for doing' preparatory or
complementary work, between 15 minutes and less than 45 minutes per day should be treated as halfan hour's work such time between 45 minutes and one hour per day should be treated as one hour'swork.

(iii) In the case of intensive and essentially intermittent categories of employment, such time assessedbetween 15 minutes and 30 minutes per day shall be treated as half an hour's work.
(iv) The time assessed for the work mentioned in Note (iii) shall be reflected in the duty rosters of
the concerned railway servants.
(v) Total hours for preparatory or complementary work or both shall fixed to ensure that the overallduty hours do not exceed the prescribed for respective classification in Section 132.
(8) Where Railway servants are required to perform split duty, such duty shall subject to the followingconditions, namely :-
(a) the spells of duty shall not exceed three and the number of breaks shall be limited to two;
-24 additionalhours per week
(b) *in the case of an employment of 'continuous' nature, the railway servant* whose place of
residence is beyond 1.6 kilometers from the place of duty seven hours of split duty shall be treated as equivalent to eight hours of normal duty.
(9) While preparing rosters, 'long on' or' short offs hall, accordingly, be avoided
(10) Where, in accordance with the provisions of sub-section (4) of Section - 132 or sub- section (3) of
Section 133 and in the circumstances mentioned therein, a - *Railway servant is called upon by an orderof temporary exemption made under Rule 9 below by the competent authority to render duty beyondthe hours of work fixed in* accordance with the foregoing sub-rules or beyond *the* hours prescribes in subsections (1), (2) and (3) of the Section 132, it shall be the duty of the Railway concerned to render such extrahours of duty.

9. Power to make temporary exemption.

(1) Subject to the provisions of sub-section (4) of Section 132 and of sub-section (3) of Section 133,Head of a Railway Administration may by order in writing make temporary exemption of any Railwayservant or class of Railway servants from the provisions of sub sections (1), (2) and (3) of Section 132and sub-sections (1) and (2) of Section 133.
(2) The Head of Railway Administration may by order in writing delegate his powers under subrule(1) to any officer subordinate to him and whom he may deem it to exercise the powers.
(3) A copy of every order of delegation made under sub-rule (2) shall be sent to the Regional
Labour Commissioner concerned.

10. Principle of averaging and payment of overtime allowance.

(1) Where a Railway servant is required to render extra hours of duty beyond the rostered hours fixed inaccordance with rule 8 or beyond the limits specified for different classes of Railway servant under section132, he shall be paid overtime for such extra hours of work, subject to the principle of averaging asspecified in sub-rule (2).
(2) Averaging shall be done by averaging of the hours of work over the averaging periods as specifiedin Section 132 which has been adopted to provide a reasonable measure of elasticity as essential inrailway working for certain classes of Railway servants and it shall apply to-
(i) running staff;

(ii) operating staff;
(iii) shift workers; and
(iv) those other Railway servants whose work is connected with the work of any of the categories ofRailway servants mentioned in clauses (i), (ii) and (iii).
(3) Subjectto the provisions contained in sub-section (4) of Section 132, payment of overtime for
excess hours of work shall be made as under :-
(i) for the excess hours of work rendered by a Railway servant between the limits of prescribed
rostered hours of work and the hours prescribed in Section 132, during the relevant averaging
period, payment shall be made at 11/2 times the ordinary rate of pay; and
(ii) forthe excess hours of work rendered beyond the limits prescribed in Section 132, payment shallbe made at two times the ordinary rate of pay.
(4) The hourly rate of overtime shall be worked out on the basis of rostered hours over the relevantaveraging period as under : -
(i) Hourly rate of Pay (for Period of averaging X 1/30 of monthly
staff governed by No. of rostered hours of ordinary rate of pay.
Averaging Principle) work in the averagingperiod
(ii) Hourly rate of pay (for 1 X 1/30 of monthly thosethose not governed by No. of daily rostered ordinary rate of pay
Averaging Principle) hours of work

11. Register of extra hours of work.—

The particulars of all extra hours of work done by a Railway servant beyond the prescribed rosteredhours of duty shall be recorded in a register to be maintained in Form 'A' appended to these rules by theofficer authorised in this behalf by the Head of the Railway Administration.

12. Periodical Rest.

(1) *Railway servant whose employment is Intensive or Continuous shall be granted, every*
week commencing on a Sunday, rest of not less than forty two hrs in case INTENSIVE , thirty consecutive hours for Continuous and those whose employment is Essentially Intermittent, shall be granted rest of not less than twenty-four consecutive hours including a full night.
(2) No Railway servant classified as Intensive, Continuous or Essentially Intermittent shall be called on duty unless one has had a rest of not less than 12, 10, 8 consecutive hours, respectively after completion of the previous tour of duty. Such rest shall be given as far as possible through the employment of rest givers and the rest givers so provided shall be separate for Continuous and Essentially Intermittent categories.
(3) Locomotive or traffic running staff shall be granted, each month, a rest of at least five periods of not less than twenty-two consecutive hours each, or a rest of at least four periods of not less than thirty consecutive hours each including a full - The hours of work for this purpose shall be calculated from "signing on" to 'signing off".
(4) The locomotive and traffic running staff shall not normally be away from headquarters for more than three or four days at a stretch and the periodic rest for such staff shall be given at headquarters. Rest at headquarters shall always include a night in bed, and as far as possible be once in every ten days.
(5) Staff on duty in running trains, other than locomotive and traffic running staff such as Travelling PayClerks and Catering Staff attached to Restaurant Car shall be given

periodic rest on the scale and in themanner laid down for the locomotive and *traffic running staff. Some portion of the periodic rest may, however be given away* from their headquarters having regard to their length of trips.

(6) The working hours and periodic rest of marine staff, other than those who are governed by the Factories

Act shall be regulated in the same manner as running staff.

(7) In accordance with clause (ii) of sub-section (2) of Section 133 of the Act, the Head of the RailwayAdministration may, with the prior approval of the Ministry of *Railways, specify the categories of Railwayservants to whom the periods* of rest on scales less than those laid down under sub-section (1) of the said section prescribed.

13. Compensatory periods of rest.

No Railway servant in respect of whom an exemption has been made under rule shall be

required to work for more than fourteen days without a period of rest and shall be provided with

compensatory rest within this period.

PART-III

AUTHORITIES TO ENSURE PROPER IMPLEMENTATION OF THE PROVISIONS OF

CHAPTER XIV OF THE ACT AND THESE RULES

14. Appointment of Supervisors.

The supervisors of Railway labour shall be appointed by the Ministry of Labour. The manner of their appointment and the educational qualifications, etc., prescribed for the purpose will be as laid down by the Ministry of Labour from time to time.

15. Display of rules and notices.

Every Railway Administration shall display in. a conspicuous place

(a) where the Railway servants work, notices specifying the classification of employment of

Railway servants; the duration of their hours of employment, their period of rest and rosters; and

(b) in each station or other establishment, a copy of Chapter XIV of the Act and these rules in English,Hindi and in local language.

16. Annual Return.

Every Railway Administration shall send each financial year a return in Form "B' appended to these rules,so as to reach the Regional Labour Commissioner not later than the 15th day of May following the and ofthe financial year to which it relates.

PART-IV

RESIDUARY POWERS

17. Power to make modification in special cases.

(1) Notwithstanding anything provided in these Rules, where, in the interest of efficient working of

the Railways, there are certain conditions of special nature necessitating an immediate modification ofany conditions laid down under these web rules to suit local conditions, such modifications which are not inconsistent with any provisions of Chapter XIV of the Act, may be effected with the prior approval of the Ministry of Railways.

(2) A copy each of such modification shall be sent to the Regional Labour Commissionerconcerned.
(3) If any Railway servant is adversely affected by any such modification made under sub-rule (1),he may prefer an appeal before the expiry of 90 days from the date of effecting such modification to
the Ministry of Railways whose decision thereon shall be final.

PART-V
REPEAL AND SAVING

18. The Railway Servants (Hours of Employment) Rules, 1961 and any orders issued thereunder
in so far as they are inconsistent with these rules, are hereby repealed;
Provided that(1) such repeal shall not affect the previous operation of the said rules or any orders made oranything done or any action taken there under;
(2) nothing in these rules shall be construed as depriving any person to whom these rules apply, ofany right of appeal which had accrued to him under the rules or orders in force before the
commencement of these rules.
(3) an appeal pending at the commencement of these rules against an order made before such
commencement shall be considered and orders thereon shall be made in accordance with these
rules as if such orders were and the appeals were preferred under these rules.
(4) as from the commencement of these rules any appeal or application for review against any ordersmade before such commencement, shall be preferred or made under these rules as if such orderswere made under these.
R. B's No. E(LL)2001 /1 /ER/9 dated 9.8.2005 (R.B.E.No.1 31 /2005)

Waiting for duty

The time during which an employee is waiting at the place of duty and not resting should be included in the Hours of Employment since the employee is available for such suitable work as the Administration may assign to him.

Administration should give special attention to the improvement of running rooms to see that the facilities afforded to the running staff are such as to enable to get adequate rest. This applies equally to crew vans and rest vans.

It is also desirable that Railway Administration should try and make provision for one room at each fairly large station for the use of staff who may be arriving at that station on relieving or other duty. It should also be available for the use of staff who is off duty at inconvenient hours.

Reckoning of traveling on duty as duty

When a worker not provided with the facility of crew rest van travels as spare on duty on any day beyond a radius of 8 kms. from their place of duty all time spent for traveling from the time they commence the journey from the place of duty will be

treated as duty. These instructions would apply only to such staff who had prior to 01/08/1974 been getting the benefit of counting periods of spare travel as duty in terms of subsidiary instructions No.8 provided with travel facilities.

The following running staff whenever they have to travel as spares on duty and when not provided with travelling facilities will come under the classification referred in the above para.

1)	Driver Grade `A', `B' and `C'	Loco Staff
2)	Diesel Driver	Loco Staff
3)	Diesel Assistant	Loco Staff
4)	Firemen Grade `A', `B' and `C'	Loco Staff
5)	Guard Grade `A', `B' and `C'	Traffic
6)	Brakesman	Traffic
7)	Driver Grade `A', `B' and `C'	Traction Running Staff
8)	Assistant Driver	Traction Running Staff
9)	Motorman	Traction Running Staff

In other than cases referred in the above paras, when workers travel as passenger on duty beyond a radius of 8 kms. from the place of duty and who are not provided with accommodation in trains, 50% of the period of travel should be credited towards duty hours. Such travel in the case of any individual employee should be limited to 70 hours in a month. In other words, payment of overtime for such travel should be restricted to 35 hours in a month. This limit should not be exceeded under any circumstances. The accommodation, for this purpose, means provision of sleeper/first class accommodation whether reserved or otherwise. When staff travel in train where there are no facilities of reserved accommodation even for fare-paying passengers of when travel is taken on reservation seats, the question of treating travel time does not arise.

Loco running staff who may be deputed to accompany dead engines may be allowed 2/3rd credit for the time spent by them during such journeys and loco running staff accompanying engines on trial measure may be allowed full credit for the entire journey.

In case of running staff travelling spare on double manned trains, full credit should be given to both the sets of crew, so far as the payment of overtime is concerned, if no crew rest van is provided.

5. SPECIAL INSTRUCTIONS FOR REGULATING HOURS OF EMPLOYMENT OF RUNNING STAFF AND OTHER TRAVELLING STAFF.

1. As a general rule, running staff should be classified as `continuous'.

2. The deemed rostered hours of running staff other than those work on fixed roster should be determined as 104 hours in a two-weekly period and the payment of overtime allowance should be regulated accordingly.

2.2 In the case of Special Grade `A' Drivers and `C' Grade Co-Drivers employed on Superfast trains which are having a booked speed of 100 kms. per hour or more, their hours of employment should normally be limited to 90 hours in a two-weekly period and payment of overtime allowance should be regulated as

1-1/2 times of the ordinary rate of pay for the work done over 90 hours upto 108 hours and twice the rate of pay for the work done beyond 108 hours. This will not, however, apply to such trains as are booked b on run at a speed of less than 100 kms. per hour though designated as Superfast trains or when such trains are manned by two special `A' Grade Drivers.

3. In the case of Loco and Traffic running staff, duty hours should count from `signing on' to signing off'.

4. Loco running staff should be allowed 45 minutes before departure from the engine shed and 15 minutes after arrival in the engine shed.

4.2 Traffic running staff

(a) For express and passenger Guards: 30 minutes before the departure of a train for taking over and 30 minutes for making over after arrival should be allowed.

(b) For Goods trains and mixed train Guards and for Ballast trains/departmental and Road Van train Guards: 45 minutes for taking over and 30 minutes for making over should be allowed.

(a) For Brakesmen: They may be treated on par with the Traffic Guards in allowing train attendance work.

5. The Hours of Employment of the running staff should be restricted to 10 hours at a stretch from the time signing on to signing off, if not otherwise warranted in exceptional circumstances of unavoidable operations exigencies or accidents, floods, emergencies etc.

5.2 The 10 hour rule as applicable to the running staff should be implemented subject to the following provisions:

i) The undermentioned periods will count for 10 hour rule.

(a) Engine attendance time as prescribed and
(b) Time taken from starting station upto crew-changing station including intermediate detention.

ii) The following periods will not count.

(a) From bahar line to the station at the starting point, pre-departure, detention and travelling pilot and
(b) At the terminal station from the station to the shed where the destination point is other than a station, say, a yard, a convenient point or area would have to be locally demarcated as the destination station for the purpose of 10 hour rule.

iii) the time spent by running staff on non-running duties such as travelling spare on duty or waiting at a station for returning to headquarters etc. will continue to be excluded for the purposes of 10 hour rule.

6. In the case of Loco and Traffic Running Staff, continual night duty should not normally exceed 6 nights at a stretch.

7. The stay of running staff away from headquarters be limited to 3 days which may work to their staying 3 running rooms e.g., one on the, say, up one at the end and one on the way back.

The 72 hours limit should be relaxed to 96 hours wherever the requirement inoperation so demanded.
Running staff, as far as possible should be advised of their periodic rest at or before its commencement.

8. The running staff may be given 4 periods of rest of not less than 30 consecutive hours each or five periods of not less than 22 consecutive hours in a month. Periodic rest should be given as far as possible once in every ten days. Periodic rest should be given in headquarters and should always include a full night.

9. i) Rest for running staff should be based on `running duty'
which should be reckoned from actual departure of the train from the starting station till the actual arrival of the train at destination.

ii) Loco and Traffic running staff should be given adequate rest after their trips as under (at Headquarters).

a) For running duty less than 8 hours from signing-on to signing off … 16hours

b) For running duty 8 hours or more .. 16 hours

iii) Rest at outstations when working other than short trips.

a) For running duty of 8 hours or more .. 8 hours
b) For running duty less than 8 hours .. Two third of total duty performed or 6.00 which ever is more

9.2 At the discretion of the Competent Authority the above scale of rest may be reduced in an emergency or in order to have delay to a train at outstation, but every endeavour shall be made to give the minimum of 6 hours rest to staff who have done 6 hours running in the forward trip.

9.3 When working short trips, the travel between trips shall be treated as `duty' if it is equal to or less than one hour plus time allowed for train or engine attendance before the next trip, the period being increased at the discretion of

the Railway Administration when local condition such as distance from running room to the traffic yard etc.

6. BREACH OF REST ALLOWANCE

In cases of booking of Running staff before completion of the prescribed minimum Rest they are entitled for breach of rest allowance. In cases of utilisation in excess of rostered hours incidence of B O R is high thereby involving additional payment on that account. Such of the staff who performs running duties with out proper rest are also prone to **ACCIDENTS.**

7. PAYMENT OF OVERTIME UNDER HOURS OF EMPLOYMENT REGULATIONS

Overtime is payable to staff for extra hours worked due to exigencies of service under specific authorisation from the Competent Authorities to work beyond the rostered hours of work and or on rest days, as the case may be.

Payment of overtime is regulated as 1-1/2 times of the ordinary rate of pay for overtime work done between the rostered hours and statutory limits prescribed for each category of staff and twice the ordinary rate of pay for overtime work done beyond the statutory limit. The hourly rate of overtime will be worked out on the basis of `Rostered Hours' over the period of averaging.

Staff falling under the averaging group will earn overtime when they work beyond the following limits.

Period of averaging	Hours of duty over which OT is payable 1-1/2 times of ordinary rate of pay	Statutory limits over which twice the ordinary rate of pay is payable	Classification under HER and category of staff
2 weekly	72 + Prep/Comp. work, if any	90	Intensive
- do –	96 + - do –	108	Continuous
- do -	144 + - do -	150	Gatemen `C', Caretakers, Saloon Attendants etc. classified as `El'.
Weekly	72 + - do -	75	`El' workers posted to roadside stations and residing within 0.5 km. from the place of duty
- do -	60 + - do –	75	Rest of `El' workers

When staff belonging `averaging group' are absent/avail recorded leave, such as LAP, LHAP or LWP or unrecorded leave like Casual Leave, Special Casual Leave and compensatory holiday, credit should be given under the actual duty hours column in the overtime slip to the extent of the normal rostered hours of the respective days. The statutory maximum limit need not be worked out proportionately to the days of leave, absence and compensatory holidays during the weekly or two weekly periods, as the case may be.

Against the days of Compensatory Rest/Rest, no credit under the actual duty hours column should be given and marked distinctly as CR/Rest, as the case may be. In case work is done forgoing the weekly rest, then the hours worked should be shown filling the actual duty hours column.

Chapter – 5

THE RAILWAY SERVICES (CONDUCT) RULES, 1966

1. Short Title.-

(1) These rules may be called the Railway Services (Conduct) Rules, 1966.

(2) They shall come into force at once.*(i.e. 21-03-1966)*

2. Definitions.-

In these rules, unless the context otherwise requires-

(a) 'Government' means, in relation to-

(i) gazetted officers holding posts in the Railway Board, the President;

(ii) other gazetted officers, the Railway Board;

(iii) non-gazetted officers, in the Railway Board, the Secretary, Railway Board;

(iv) other non-gazetted officers in offices directly the administrative control of the Railway Board, the heads of the offices concerned; and

(v) other non-gazetted officers, the General Managers of the Railway Administrations concerned;

Provided that for purposes of sub-rules(2) and (3) of rule 5 ,sub-rule (1) of rule 8, sub-rule (1) of rule 10, rule 12, rule 14, sub-rules (1) and (3) of rule 15, sub-rule (3) of rule 16, sub-rule (1) of rule 19 and rule 21, 'Government' means the Railway Board in the case of all non-gazetted railway servants.

(b) "railway servant" means a railway servant as defined in rule 103 (43) of the Indian Railway Establishment Code.

Indian Railway Establishment Code Rule 103(43)- "Railway servant means a person who is member of a service or holds a post under the administrative control of the Railway Board. It also includes a person who is holding the post of Chairman, Financial Commissioner or a Member of the Railway Board. Persons lent from a service or post which is not under the administrative control of the Railway Board to a service or post which is under such administrative control do not come within the scope of this definition. The term excludes casual labour."

Explanation- A railway servant whose services are placed at the disposal of company, corporation, organisation or a local authority shall, for the purposes of these rules, be deemed to be a railway servant notwithstanding that his salary is drawn from sources other than the Consolidated Fund of India.

(c) "members of family" in relation to a railway servant includes-

(i) the wife or husband, as the case may be, of the railway servant, whether residing with the railway servant or not but does not include a wife or husband as the case may be, separated from the railway servant by a decree or order of a competent court;

(ii) son or daughter or step-son or step-daughter of the railway servant and wholly dependent on him, but does not include a child or step-child who is no longer in any way dependent on the railway servant or of whose custody the railway servant has been deprived by or under any law;

(iii) any other person related whether by blood or marriage to the railway servant or to the railway servant's wife or husband, and wholly dependent on the railway servant.

Railway Ministry's decision.-The son/daughter will come within the purview of this rule only if he or she is dependent upon the Railway servant. (**E(D&A) 77GS-13 dt. 14-7-1977.)**

Railway Board's important letters on time limits for grant of permission etc.

No. E(D&A)89 GS1-11 dt. 24-10-1989

Sub:- Conduct Rules -time limit Beyond Which permission may be assumed to have been granted by the competent authority in the absence of any communication from him.

Under certain provisions in the Railway Services(Conduct) rules, 1966, exercise of a right available to a railway servant/availing of an opportunity which may come his way is subject to the prior permission of the Government. In order to ensure that such a right opportunity is not inconvenienced or rendered infructuous because of delay on the part of the Government to grant necessary permission, it has been decided that the following time limits should be observed for granting or refusing permission in respect of the undermentioned provisions of the Conduct Rules where prior permission of the Government is required:-

Sl.No.	Rule Nos.	Provisions relating to	Time limit for grant of permission
1.	8(2)	Connection with press or radio	30 days
	13(5)	Gifts	30 days
	18(2) & 18(3)	Transactions in movable and immovable property	30 days
2.	19(1)	Vindication of acts and character of Govt. Servant	6 weeks
3.	18-A	Transactions in immovable property outside India or with foreigners	60 days

2. The above time limits will be reckoned from the date of receipt of the request of the railway servant for granting of permission under the relevant rules by the competent authority of his office. An acknowledgment showing the date of receipt of the request should be given to the employee whenever the employee's request under the rules is received. In case the competent authority fails to communicate its decision to the concerned railway servant within the time limit indicated above, the employee concerned shall be free to assume that the permission has been granted.

3. The above instructions may be brought to the notice of all authorities exercising powers under the relevant provisions of the Railway services(Conduct) Rules, 1966 and may be advised to ensure that all requests of railway servants under the aforesaid rules are dealt with expeditiously so that no occasion arises where a railway servant may be enabled to act on the assumption that the permission has been granted in his case on account of the failure of the competent authority to convey its decision within the stipulated time.

3. General.-

(1) Every railway servant shall at all times-

(i) maintain absolute integrity;

(ii) maintain devotion to duty;

(iii) do nothing which is unbecoming of a railway or government servant.

In the Railway Services (Conduct) Rules, 1966, in Rule 3:- 1. In sub-rule (1), after clause (iii), the following clauses shall be inserted, namely:-

"(iv) commit himself to and uphold the supremacy of the Constitution and democratic values;

v) defend and uphold the sovereignty and integrity of India, the security of the State, public order, decency and morality;

vi) maintain high ethical standards and honesty;

vii) maintain political neutrality;

(viii) promote the principles of merit, fairness and impartiality in the discharge of duties;

ix) maintain accountability and transparency;

(x) maintain responsiveness to the public, particularly to the weaker section

(xi) maintain courtesy and good behaviour with the public;

(xii) take decisions solely in public interest and use or cause to use public resources efficiently, effectively and economically;

(xiii) declare any private interests relating to his public duties and take steps to resolve any conflicts in a way that protects the public interest;

(xiv) not place himself under any financial or other obligations to any individual or organisation which may influence him in the performance of his official duties;

xv) not misuse his position as railway servant and not take decisions in order to derive financial or material benefits for himself, his family or his friends;

(xvi) make choices, take decisions and make recommendations on merit alone

(xvii) act with fairness and impartiality and not discriminate against anyone, particularly the poor and the under-privileged sections of society;

xviii) refrain from doing anything which is or may be contrary to any law, rules, regulations and established practices;

(xix) maintain discipline in the discharge of his duties and be liable to implement the lawful orders duly communicated to him;

(xx) maintain confidentiality in the performance of his official duties as required by any laws for the time being in force, particularly with regard to information, disclosure of which may prejudicially affect the sovereignty and integrity of India, the security of the State, strategic, scientific or economic interests of the State, friendly relation with foreign countries or lead to incitement of an offence or illegal or unlawful gain to any person;

(xxi) perform and discharge his duties with the highest degree of professionalism and dedication to the best of his abilities. 2. In clause (ii) of sub-rule (1), the word "and" may be deleted."

(**Authority – Railway Board's letter No. E(D&A) 2014 GS1-3 dated 12.01.2015)**

(2) (i) Every railway servant holding a supervisory post shall take all possible steps to ensure the integrity and devotion to duty of all railway servants for the time being under his control and authority;

(ii) no railway servant shall, in the performance of his official duties or in the exercise of powers conferred on him, act otherwise than in his best judgment except when he is acting under the direction of his official superior;

(iii) the direction of the official superior shall ordinarily be in writing, and where the issue of oral direction becomes unavoidable, the official superior shall confirm it in writing immediately thereafter; and

(iv) a railway servant who has received oral direction from his official superior, shall seek confirmation of the same in writing as early as possible, whereupon it shall be the duty of the official superior to confirm the direction in writing.

Explanation I - A railway servant who habitually fails to perform the task assigned to him within the time set for the purpose and with the quality of performance expected of him shall be deemed to be lacking in the duty within the meaning of clause (ii) of sub-rule (1).

Explanation II **-** Nothing in clause(ii) of sub-rule(2) shall be construed as empowering a railway servant to evade his responsibilities by seeking instructions from or approval of a superior officer or authority when such instructions are not necessary under the scheme of distribution of powers and responsibilities.
(Authority: Railway Board's letter No. E(D&A) 86/GS 1-5 dt 14-07-1986.)

Railway Ministry's decision- In the light of the provisions of Rule 3(2) (ii) it is impressed upon all Railway servants that-

(i) Oral instructions should not, as far as possible, be issued by senior officers to their subordinates;

(ii) if the oral instructions are issued by any senior officer they should be confirmed by him in writing immediately thereafter;

(iii) If a junior officer seeks confirmation to the oral instructions given by the senior, the latter should confirm it in writing, whenever such confirmation is sought;

(iv) a junior officer who has received oral orders from his superior officer should seek confirmation in writing as early as practicable;

(v) Whenever a member of the personal staff of Minister communicates an oral order on behalf of the Minister, it should be confirmed by him in writing immediately thereafter;

(vi) if a junior officer received oral instructions from the Minister or from his personal staff and the orders are in accordance with the normal rules, regulations or procedures, they should be brought to the notice of the Secretary, or the concerned Members of the Railway Board or the Head of the Department, as the case may be, for information.

(vii) if a junior officer received oral instructions from the Minister or from his personal staff and the orders are not in accordance with the norms, rules, regulations or procedures, they should seek further clear orders from the Secretary, the concerned Member of the Railway Board or the Head of the Department, as the case may be, about the line of action to be taken stating clearly that the oral instructions are not in accordance with the rules, regulations, norms, or procedures. (NO.E(D&A) 78GSI-9 dt 14-12-78)

Railway Board's important letters on rule 3. No. E(D&A)90 GS1-6 dt. 12-07-1990

Sub: Railway Services (Conduct Rules),1966 - Clarifications regarding Rule 3(2)(i)- Acceptance of gratification -Role of Supervisory staff.

Rule 3(2)(i) of the Railway Services(Conduct) Rules, 1966 provides as under: "Every Railway servant holding a supervisory post shall take all possible steps to ensure the integrity and devotion to duty of all Railway servants for the time being under his control and authority"

2. Vide Board's letter No. E(D&A)73GS1-11, dated 27-10-1973, instructions were issued clarifying that the above rule is intended to be invoked only in cases where there has been a failure on the part of the Supervisory Officers concerned to take all reasonable and necessary steps to ensure the integrity and devotion to duty of Governments under his control and authority.

3. Of late, a number of instances have come to the notice of the Board where subordinates of Supervisory Officers were found having accepted illegal gratification. It would indicate that there has been failure on the part of the Supervisory Officers in taking necessary action as enjoined in the Conduct Rules.

4. A copy of Board's letter dated 27.10.1973 along with its enclosures is again sent herewith. Board desire to reiterate the instructions contained therein. It is further clarified that if any evidence is found that the Supervisory Officer concerned was aware of the acceptance of the illegal gratification or the proclivity of his staff in the matter of indulgence in such illegal act and even then he did not take necessary action departmentally and/or through Central Bureau of Investigation, a view would be taken that the officer concerned has failed to act upon the aforesaid instructions. In that event, Rule 3(2)(i) of the Railway Services(Conduct) Rules, 1966 would be invoked and disciplinary action initiated against the delinquent supervisory officer.

5.Board desire that the contents of this letter may be suitably brought to the notice of all concerned for guidance.

Copy of the Board's circular letter No. E(D&A)73 GS1-11 dated 27.10.1973 to the General Managers, All Indian Railways and Production Units. etc.

Sub:Railway Services (Conduct) Rules, 1966-clarification regarding Rule 3(2)(i).

A copy of the cabinet Sectt. (Department of Personnel)'s O.M. No. 25/2/72-Estt.(A), dated 10.11.73 regarding clarification of rule 3(2)(i) of the CCS (Conduct) Rules, 1964 which corresponds to Rule 3(2)(i) of the RS(Conduct) Rules, 1966 is sent herewith. The Board desire that the contents thereof may please be brought to the notice of all concerned for guidance.

Copy of DOP's O.M. No. 25/2/72-Estt.(A), dt.10.1.73.
Sub: CCS (Conduct) Rules, 1964-Rule 3(2)(i)-Clarification regarding.

The undersigned is directed to invite the attention of the Ministry of Finance etc. to the Rule 3(2)(i) of the CCS(Conduct) Rules, 1964 under which every Government servant holding a supervisory post shall take all possible steps to ensure the integrity and devotion to duty of all Government servants or the time being under his control and authority.

2.The National Council set up under the Machinery for Joint Consultation and Compulsory Arbitration, in its meeting held on 28.7.72 adopted a recommendation of the Committee set up by the Council to consider the item' Amendment of the CCS(Conduct) Rules'1964 to the effect that clarification may be issued that sub-rule (i) of Rule 3(2) is intended to be invoked only in cases where there has been a failure on the part of the supervisory officer concerned to take all reasonable and necessary steps to ensure the integrity and devotion to duty of Government servants under his control and authority.

3.The Ministry of Finance, etc. are requested to bring the clarification given in paragraph 2 above about the intention of Rule 3(2)(i) to the notice of all concerned for guidance.

3A. Promptness and Courtesy.-

No Railway servant shall -

(a) in the performance of his official duties, act in a discourteous manner;

(b) in his official dealings with the public or otherwise adopt dilatory tactics or willfully cause delays in disposal of the work assigned to him.

alok tells: *-Rule 3A inserted vide Railway Board's letter No.* No.E(D&A)95GS1-5 dt. 14-09-95 *i.e. ACS-34/R-I*

3B. Observance of Government's policies.-

Every railway servant shall, at all times -

(i) act in accordance with the Government's policies regarding age of marriage, preservation of environment, protection of wildlife and cultural heritage;

(ii) observe the Government's policies regarding prevention of crime against women.

alok tells: *-Rule 3A inserted vide Railway Board's letter No.* No.E(D&A)95GS1-5 dt. 14-09-95 *i.e. ACS-34/R-I*

"**3 C. Prohibition of sexual harassment of working women -**

1) No Railway servant shall indulge in any act of sexual harassment of any woman at any work place.

(2) Every Railway servant who is incharge of a work place shall take appropriate steps to prevent sexual harassment to any woman at the work place.

Explanation. – (I) For the purpose of this rule,-

(a)"sexual harassment" includes any one or more of the following acts or behaviour (whether directly or by implication) namely :-

(i) Physical contact and advances; or

(ii) a demand or request for sexual favours;

(iii) making sexually coloured remarks; or

(iv) showing pornography; or

(v) any other unwelcome physical, verbal, non-verbal conduct of a sexual nature.

(b) the following circumstances, among other circumstances, if it occurs or is present in relation to or connected with any act or behaviour of sexual harassment may amount to sexual harassment :-

(i) implied or explicit promise of preferential treatment in employment; or (ii) implied or explicit threat of detrimental treatment in employment; or (iii) implied or explicit threat about her present or future employment status; or

iv) interference with her work or creating an intimidating or offensive or hostile work environment for her; or

(v) humiliating treatment likely to affect her health or safety.

(c) "workplace" includes,-

i) any department, organisation, undertaking, establishment, enterprise, institution, office, branch or unit which is established, owned, controlled or wholly or substantially financed by funds provided directly or indirectly by the Central Government;

(ii) hospitals or nursing homes;

(iii) any sports institute, stadium, sports complex or competition or games venue, whether residential or not used for training, sports or other activities relating thereto;

(iv) any place visited by the employee arising out of or during the course of employment including transportation provided by the employer for undertaking such journey;
(v) a dwelling place or a house."
(**Authority – Railway Board's letter No. E(D&A) 2014 GS1-4 dated 12.01.2015)**
Rule 3C inserted vide Railway Board's letter No. No.E(D&A)97GS1-4 dt. 13-05-98 *i.e. ACS-58/R-I.*

Railway Board's important letters on rule 3C. E(D&A)97 GS 1-4 dated 01-07-98.

Sub: Railway Services(Conduct) Rules,1966-supreme Court Judgement in the case of Vishaka Vs State of Rajasthan regarding sexual harassment of working women.

(*alok tells:*this letter circulates Guidelines and Norms laid down by the Hon'ble Supreme Court in the referred case. This letter also directs to create an appropriate complaint mechanism for redressal of the complaints of sexual harassment made by the women employees.)

4. **Employment of near relatives of railway servants in a Company or firm enjoying Government patronage.-**
(1) No railway servant shall use his position or influence directly or indirectly to secure employment for any member of his family in any company or firm;

(2) (i)No Group 'A' officer shall, except with the previous sanction of the Government, permit his son, daughter or other dependent to accept employment in any company or firm with which he has official dealings or in any other company or firm having official dealings with the Government;

Provided that where the acceptance of the employment cannot await prior permission of the Government or is otherwise considered urgent, the employment may be accepted provisionally subject to the permission of he Government and the fact of such acceptance shall at once be reported to the Government.

(ii) A railway servant shall, as soon as he becomes aware of the acceptance by a member of his family of an employment in any company or firm, intimate such acceptance to the Government and shall also intimate whether he has or has had any official dealings with that company or firm;

Provided that no such intimation shall be necessary in the case of a Group A Officer if he has already obtained the sanction of, or sent a report to the Government under clause(i).

(3) No railway servant shall in the discharge of his official duties deal with any matter or give or sanction any contract to any company or firm or any other person if any member of his family is employed in that company or firm or under that person or he or any member of his family is interested in such matter or contract in any other manner and the railway servant shall refer

every such matter or contract to his official superior officer or authority and the matter or contract shall thereafter be disposed of according to the instructions of such officer or authority.

Railway Board's important letters on rule 4.No. E(D&A)93 GS1-5 dt. 22-07-1994

Sub: Definition of 'members of the family' in relation to Rule 4 of the Railway Services (conduct) Rules, 1966.

Sub-Rule 3 of Rule 4 of the Railway Services (Conduct) Rules 1966 states that no Railway servant shall, in the discharge of his official duties, deal with any matter or give or sanction any contract to any company or firm or any other person, if any member of his family is employed in that Company or firm or under that person, or if he or any member of his family is interested in such matter or contract in any other manner. The Rule further provides that the Railway Servant shall refer every such matter or contract to his superior and the matter shall thereafter be disposed off according to the directions of the superior. It is clarified in the context of this sub-rule that the term 'members of the family' would also include financially independent sons/daughters as also married daughters of the railway servant concerned.

This clarification may please be brought to the notice of all concerned for information, guidance and strict compliance

No. E(D&A)88 GS1-7 dt. 21-06-1988

Sub: Railway Services(Conduct) Rules ,1966-contacts with business firms-Instructions regarding.

A copy of Deptt. of Personnel and Training O.M. No. 11013/1/88-Estt.(A) dated 10.5.88, is sent herewith. Note(II) below Rule 13(I) Rule 4(3) of the Central Civil Services (Conduct) Rules, 1964 correspond to Rule 13(2) and 4(3) respectively of the Railway Services(Conduct) Rules, 1966.

2. The aforesaid instructions may be brought to the notice of all the officers/staff working under your control for guidance and strict compliance.

Index-Conduct Rules-contact with Business Firms etc. If outsiders (Contacts) are used by a Railway servant to gather information in public interest, the railway servant should see that he does not become obliged/committed to the outsider(Contact).

Copy of O.M. No. 11013/1/88-ESTT(A) dated 10th May,1988 Deptt. of Personnel and Training, Min. of Personnel, Public grievances and Pensions.

Sub: Central Civil Services (Conduct) Rules, 1964-Contacts with business firms - instructions regarding.

The undersigned is directed to invite attention to Note(II) below Rule 13(1) of the Central, Civil Services (Conduct) Rule, 1964, which lays down that a Govt. servant shall avoid accepting lavish hospitality or frequent hospitality from any

individual having official dealings with him or from industrial or commercial firms. organisations etc. Rule 4(3) of the CCS (Conduct) Rules, 1964 inter alia envisaged that no Government servant shall in the discharge of his official duties deal with any matter concerning any company or firm or any other person if he or any member of his family is interested in such matter in any manner. These instructions have been issued to ensure that Government servants are extremely careful and discreet while coming in contact with business men and business firms so as to avoid situations, which might cause embarrassment to the Government or to the Government servants concerned while dealing with matters relating to those business firms/businessmen in their official capacity.

2.It may sometimes so happen that a Government servant is required to maintain contact with outsiders to gain information, in the public interest, about the violation of rules regulations etc. In such cases the Government servant concerned has to exercise adequate care and discretion in making use of such outside contacts so that neither the government nor the Government servant personally becomes obliged or committed to the said contact in any manner.

3. The aforesaid instructions are brought to the notice of all Ministries/departments for strict compliance by Government servants of all categories.

5. Taking part in politics and elections.-

(1) No railway servant shall be a member of, or be otherwise associated with, any political party or any organization which takes part in politics nor shall he take part in, subscribe in aid of, or assist in any other manner, any political movement or activity.

(2) It shall be the duty of every railway servant to endeavour to prevent any member of his family from taking part in, subscribing in aid of, of or assisting in any other manner any movement or activity which is, or tends directly or indirectly to be subversive of the Government as by law established and where a railway servant is unable to prevent a member of his family from taking part in, or subscribing in aid of or assisting in any other manner, any such movement or activity, he shall make a report to that effect to the Government.

(3) If any question arises whether a party is a political party or whether any organisation takes part in politics or whether any movement or activity falls within the scope of sub-rule(2), the decision of the Government thereon shall be final.

(4) No railway servant shall canvass, or otherwise interfere with, or use his influence in connection with or take part in, an election to any legislature or local authority:

Provided that-

(i) a railway servant qualified to vote at such election may exercise his right to vote, but where he does so, he shall give no indication of the manner in which he proposes to vote or has voted;

(ii) a railway servant shall not be deemed to have contravened the provisions of this sub-rule by reason only that he assists in the conduct of an election in the performance of a duty imposed on him by or under any law for the time being in force.

***Explanation*-**The display by a railway servant on his person, vehicle or residence of any electoral symbol shall amount to using his influence in connection with an election within the meaning of this sub-rule.

Railway Ministry's decision-(1) Railway servants wishing to join the Bharat Sevak Samaj should obtain prior permission from the Head of the Department. This permission will not, however, absolve them from the observance, at all times of all the rules and instructions relating to the conduct and behavior of the Railway Servant.(E(D&A) 64GSI-4 dt.27-5-64)

Railway Ministry's decision-(2) The Railway servants should not only be impartial but they should appear to be impartial in relation to the elections. They should not take part in any election campaign nor should they canvass. They should always take scrupulous care not to lend their names, official position of authority to assist one group as against another. Any disregard of these instructions will be considered as serious act of indiscipline. Their attention is drawn to the provisions in section 134-A of the Representation of the People Act, 1951 which reads as under;

"if any person in the service of the Government, acts as an election agent or a polling agent or a counting agent of candidate at an election he shall be punishable with imprisonment for term which may extend up to 3 months or with fine or with both." (E(D&A) 66GSI-15 dt.27-12-66)

Railway Ministry's decision- (3) Political neutrality of Railway servants-It is essential that Railway servants should not only maintain political neutrality but should also appear to do so and they should not participate in the activities of, or associate themselves with any organisation in respect of which there is the slightest reason to think that the organisation has a political aspect or with organisations banned by the Government. (E(D&A) 69 GSI-25 dt. 01-**01-70) (NS Policy/19 dt.11-03-1976)**

6. Joining of Association or Unions by Railway Servants.-

No Railway servant shall join, or continue to be a member of an association or union the objects or activities of which are prejudicial to the interests of the sovereignty and integrity of India or public order or morality.

Note.- It is not permissible for a gazetted railway servant to join any association of non-gazetted railway servants, like a Railway Employees' Union. When a non-gazetted railway servant who is a member of a Railway Employees' Union is promoted to gazetted rank, either in an officiating or permanent capacity he shall

resign his membership of such Union. If, however, the officer concerned satisfies the General Manager of the railway concerned that by such resignation he will lose financially or otherwise under any beneficent scheme organised by such Union such as death or accident insurance, he may be permitted to continue as an ordinary member, but not as office bearer or representative, of that Union. The responsibility for satisfying the General Manager in this respect will rest with the officer concerned.

7. Demonstration.-

No railway servant shall engage himself or participate in any demonstration which is prejudicial to the interest of the sovereignty and integrity of India, the security of the State, friendly relations with foreign states, public order, decency or morality, or which involves contempt of court, defamation or incitement to an offence.

Railway Ministry's decision-(1) Where peaceful and orderly meetings or demonstrations are held during the lunch interval without obstructing in any manner the free passage to and from the office, there would be no objection to the holding of such meetings or demonstrations nor would the participating staff render themselves liable to disciplinary action thereby. The same position will apply in respect of peaceful and orderly meeting and demonstration during half an hour interval prior to the start of working hours and the half an hour interval succeeding the close of working hours.

Railway Ministry's decision-(2) The position regarding the scope of this Rule is clarified as under:-

(i) Demonstrations, meetings and procession, which are orderly and peaceful and are held outside office premises and outside working hours, should not be interfered with.

(ii) The wearing of badges while at work should not be interfered with unless the badges have inscriptions or slogans which may offend against the interests of the sovereignty and integrity of India, the security of he State, friendly relations with foreign states, public order, decency or morality or which may amount to contempt of court, defamation or incitement to an offence. The colour of the badge or arm band should not be considered in any case.

(iii) Demonstration or the raising of slogans or other such disorderly conduct should not be permitted within office premises and disciplinary proceedings should be started against those found indulging in such action within office premises.(No.E(D&A)66 GS-3 dt. 27-4-64)

Railway Ministry's decision-(3) It will be in order to take disciplinary action in respect of demonstration anywhere, even far away from office premises and at any time even on a holiday, resorted to by a railway servant, even in the capacity of a Trade Union worker, if that activity could be proved to be one falling within the prohibitive octaves listed in this rule.(No.E(L)66UTI-79 dt. 12-1-66.)

Railway Ministry's decision-(4) Peaceful and orderly meetings and demonstrations held during lunch intervals or during half an hour interval prior to the start of working hour and the half an hour interval succeeding the close of the

working hours, without obstructing in any manner the free passage to and from the office do not infringe the provisions under this rule.(E(L)77UTI-79 dt.26/28-7-78.)

Railway Ministry's decision-(5) The principle of "No work no pay" should not be circumvented in any way including by grant of leave to a railway servant for the period of absence caused due to participation in a strike.(E(LR) II77ST 1-126 dt. 15-7-1978.)

Railway Ministry's decision-(6) If an application for casual leave is presented by a railway servant specifically for the purpose of participation in a demonstration, it a demonstration, it is open to the competent authority to refuse casual leave for this purpose. If in spite of refusal, an employee absent himself from duty, he can be treated to have been unauthorisedly absent, with all the attendant consequences of unauthorised absence.(No. **E(G) 79 LE 1-10 dt. 19-6-80.)**

Railway Board's important letters on rule 7.

No. E(D&A)87 GS1-1 dt. 04/11-03-1987

Sub: Demonstrations by the railway servants

A copy of the Department of Personnel's O.M. No. 33011/2(S)/87-Estt. (B) dated 4.2.87 on the above subject is enclosed herewith for information and guidance. Board desire that employees under your control may be suitably advised to desist from acts of indiscipline as referred to in the O.M. under reference. Guidelines relating to the participation by Railway servants in demonstrations, etc. have been circulated earlier vide Board's confidential letters **No. E(D&A)63 GS 1-3 dated 27.4.1964 and No. E(D&A)81 GS 1-3 dated 13.4.1981.**

Please acknowledge receipt.

Copy of letter (O.M.) No. 339011/2(S)/87-Estt. B dated 4th Feb.1987 received from Department of Personnel & Training, New Delhi.

Sub: Protest walk out by some sections of the employees against the half-an-hour increase in working hours.

It has been reported that in pursuance to the call given by certain Service Associations/Federations to protest against the half-an-hour increase in the working hours, some staff in some Ministries have walked out of the office before the commencement of normal lunch break today and also indulged in slogan

shouting within the office premises. It is also understood that the employees intend to repeat this form of protest during the next few days.

2.Government views seriously such act of indiscipline on the part of the employees, which has to be dealt with sternly and firmly. Guidelines for dealing with such situations are contained in F.R. 17-A, O.M. No. 25/9/64-Estt.(A) dated 6th March, 1964, O.M. No. 27/6/71-Estt. B dated 1-11-1971 & O.M. No 33011/2/(S)/84-Estt. B dated 20/23rd May, 1985. Copies of the aforesaid Office Memoranda are enclosed for facility of ready reference.

3.All Ministries may bring to the notice of the officers under their administrative control the above guidelines. The various Ministries may also suitably advise their employees to desist from participating in such acts of indiscipline so that there is no dislocation of Government work.

8. Connection with the Press or other media.-

(1) No railway servant shall, except with the previous sanction of the Government, own wholly or in part, or conduct or participate in the editing or management of any newspaper or other periodical publication or electronic media.

(2) Nothing in sub-rule(1) railway servant shall apply in the case a Railway servant in the bonafide discharge of his official duties publish a book or participates in a public media.

(2) A Railway servant publishing a book or participating in a public media shall, at all times, make it clear that the views expressed by him are his own and not that of Government.

alok tells:*-Rule 8 substituted vide Railway Board's letter No.* No.E(D&A)95GS1-6 dt. 14-09-95 *i.e. ACS-35/R*

9. Criticism of Government.-

No railway servant shall, in any radio broadcast, telecast through any electronic media or in any document published in his own name or anonymously, pseudonymously or in the name of any other person or in any communication to press or in any public utterance, make any statement of fact or opinion-

(i) which has the effect of an adverse criticism of any current or recent policy or action of the Central Government or State Government;

(ii)which is capable of embarrassing the relations between the Central Government and the Government of any State; or

(iii) which is capable of embarrassing the relations between the Central Government and the Government of any foreign State:

Provided that nothing in this rule shall apply to any statements made or views expressed by a railway servant in his official capacity or in the due performance of the duties assigned to him.

Railway Ministry's decision- Serving Railway employees, if they, in their individual capacity or in their capacity of office bearers of associations (including federation/union of railway employees) or editor/ publishers office bearers of journals issued by such associations (including federation/ union) pass resolutions making statement and/or expressing opinion on issues which involve violation by the

individual employees of this Rule become liable for disciplinary action.(E(D&A) 68GSI-6 dt. 24-6-68.)
alok tells: -Rule 9 amended vide Railway Board's letter No. No.E(D&A)96GS1-6 dt. 10-03-97 *i.e. ACS-52/R-I.See 13-01-98 for renumbering of ACS.*

10. Evidence before Committee or any other Authority.-

(1) Save as provided in sub-rule(3) no railway servant shall, except with the previous sanction of the Government, give evidence in connection with, any enquiry conducted by any person, committee or authority.

(2) Where any sanction has been accorded under sub-rule(1), no railway servant shall in the course of giving such evidence criticise the policy or any action of the Central Government or of a State Government.

(3) Nothing in this rule shall apply to-

(a) evidence given at an enquiry before an authority appointed by the Government, Parliament or a State Lelgislature; or

(b) evidence given in any judicial inquiry; or

(c) evidence given at any departmental inquiry ordered by authorities subordinate to the Government.

11. Communication of Official Information – Every Railway servant shall, in performance of his duties in good faith, communicate information to a person in accordance with the Right to Information Act, 2005(22 of 2005) and therule made there under :

Provided that no Railway servant shall except in accordance with any general or special order of the Government or in performance in good faith of the duties assigned to him. Communicate, directly or indirectly, any official document or any part thereof or classified information to any Railway servant or any oher person to whom he is not authorized to communicate such document or classified information. (Authority: Railway Board's letter No. E(D&A)2005/GS1 dated 21/02/06)

11A. Unauthorised Communication of Information.-

No railway servant, shall except in accordance with any general or special order of the Government or in the performance in good faith of the duties assigned to him communicate, directly or indirectly, any official document or any part thereof or information to any Government or railway servant or any other to whom he is not authorised to communicate such document or information.

Explanation-Quotation by a railway servant(in his representations to official superior authorities of or from any letter, circular or office memorandum or from the notes on any file to which he is not authorised to have access or which he is not

authorised to keep in his personal custody or for personal purposes) shall amount to unauthorised communication of information within the meaning of this rule.

12. Subscription.-

No railway servant shall, except with the previous sanction of the Government or of the competent authority, ask for or accept contributions to or otherwise associate himself with the raising of, any funds or other collections in cash or in kind in pursuance of any object whatsoever.

Railway Ministry's decision-(1) The association of Railway servants with the selling of tickets for charity show or for any purpose whatsoever attract the provisions of this rule and prior permission of the Government would be necessary for this purpose. Sale of tickets by Railway employees to the members of the general public is likely to invite public criticism and should not be permitted.
(E(D&A) 68 GSI-7 dt. 19/22-8-68.)

Railway Ministry's decision-(2) The powers under this Rule may be exercised by the General Managers in respect of all staff working under them for collection of subscription for celebrating religious festivals only. Permission should be given on the specific conditions that only voluntary subscription are collected and no pressure of any kind is brought on them on the collection of these funds.
(E(D&A) 68 GSI-7 dt. 30-1-69.)

Railway Board's important letters on rule 12.

No. E(D&A)94 GS1-6 dt. 15-09-1994 ***(the letter is quoted in full below Rule 15)***

13. Gifts-

(1) Save as otherwise provided in these rules, no railway servant shall accept, or permit any member of his family or (any other person acting on his behalf) to accept, any gift.

Explanation-The expression "gift" shall include free transport, boarding lodging or other service or any other pecuniary advantage when provided by any person other than a near relative or personal friend having no official dealings with the Govt. servant.

Note(1) A casual meal, lift or other form of social hospitality shall not be deemed to be a gift.

Note(2) A Railway servant shall avoid accepting lavish hospitality or frequent hospitality from any individual, industrial or commercial firms, organisations, etc. having official dealings with him.

(2) On occasions, such as weddings, anniversaries, funerals or religious functions, when the making of a gift is in conformity with the prevailing religious or

social practice, a Railway Servant may accept gifts from his near relatives or from his personal friends having no official dealings with him, but shall make a report to the Government, if the value of such gift exceeds-
In the Railway Services (Conduct) Rules, 1966, in Rule 13, in sub-rule (2), for clauses (i), (ii), (iii) and (iv),
the following clauses shall be substituted, namely:-
"(i) rupees twenty five thousand in the case of a Railway servant holding any Group 'A' post; (ii) rupees fifteen thousand in the case of a Railway servant holding any Group 'B' post;
(iii) rupees seven thousand five hundred in the case of a Railway servant holding any Group 'C' post."
Authority – Railway Board's letter No. E(D&A) 2014 GS1-3 dated 12.01.2015)

(3) In any other case, a Railway servant shall not accept any gift without the sanction of the Government if the value exceeds-

(i) rupees one thousand and five hundred in the case of Railway servants holding any Group A or Group B post; and

(ii) rupees one thousand in the case of Railway servants holding any Group 'C' or Group 'D' post.

(4) Notwithstanding anything contained in sub-rules (2) and (3), a railway servant, being a member of the Indian delegation or otherwise, may receive and retain gifts from the foreign dignitaries if the market value of gifts received on one occasion does not exceed rupees one thousand. In all other cases , the acceptance and retention of such gifts shall be regulated by the instructions issued by the Government in this regard from time to time.

(5) A railway Servant shall not accept any gifts from any foreign firm which is either contracting with the Government of India or is one with which the Railway servant had, has or likely to have official dealings. Acceptance of gifts by a Railway servant from any other firm shall be subject to the provisions of sub-rule(3).

Railway Ministry's decision 1.- The acceptance of tips is misconduct and may be treated as a good and sufficient reason for taking disciplinary action. (E(D&A) 64GSI-15 dt. 19-9-61.)

Railway Ministry's decision 2.- Gifts received or given by a railway servant in the form of cash attract the provisions of the Rule even though it is a transaction between father and son.

(E(D&A) 64GSI-5 dt.25-02-65)

Railway Ministry decision 3.- Receipt of presents by Railway servants at the time of their marriage in form of cash, ornaments, cloths or other articles, otherwise than as consideration for marriage, from relative and personal friends and others will be regulated by the above Rule. Purchases of items of movable property for giving presents at the time of marriage or on other occasions will be regulated by Rule

18(3), like any other transaction of movable property.(**E(D&A) 65GSI-12 dt.23-04-66.)**
(E(D&A) 69GSI-20 dt. 07-07-70.)

Railway Ministry's decision 4.- Making or acceptance of gifts amongst "Near Relatives" which include father, mother, son, daughter etc. requires the approval of the competent authority in terms of sub-rule (5) above.(E(D&A) 69 GSI-20 dt. 05-01-70)

Railway Ministry's decision 5.- The following are the instructions in regard to receipt, retention and disposal of gifts of high, valuation received by Railway servants from foreign dignitaries and foreign firms.

(1) The presents of symbolic nature like a ceremonial sword, ceremonial robe etc. may be retained by the recipient.

(2) The gifts of the value not exceeding Rs.1000/- may also be retained.

(3) Railway servant shall report the receipt of gifts, the value of which exceeds Rs.1000/- to the department indicating the value. The Department will refer the matter to Toshakhana for valuation of the gifts. If it is found that the value is Rs.1000/- or less the gift will be returned by in Toshakhana and the recipient will, have the option to purchases it from Toshakhana by paying the difference between the value as estimated and Rs.1000/-.

(4) Acceptance of gifts from foreign firms with whom the Railway servant has had or has or is likely to have official either directly of indirectly by virtue of his official position as well as acceptance of gifts from firms which are contracting firms with the Government are prohibited.(E(D&A) 76 GSI-31 dt. 22-12-76.)

alok tells: -Rule 13 substituted vide Railway Board's letter No. No.E(D&A)90GS1-10 dt. 23-11-90 *i.e. ACS-15/R-I.*

Rule 13(2) to 13(6) further substituted by 13(2) to 13(5) vide Railway Board's letter No. No.E(D&A)96GS1-8 dt. 17-01-97 *i.e. ACS-47/R-I.(see 13-01-98 too for ACS numbering)*

Railway Board's important letters on rule 13.

No. E(D&A)90 GS1-16 dt. 18-11-1991

Sub: Receipt and acceptance of gifts by Government servants from foreign dignitaries/sources and retention thereof-Instructions regarding.

A copy of the Ministry of External Affairs Office Memorandum No. Q/TK/461/9/90 (EAI/91/I/38) dated 23rd Aug.,1991 on the above subject, along with the enclosures thereto, is sent herewith for information of all concerned. All cases of receipt and acceptance/retention of gifts by Railway servants from sources or dignitaries from abroad may please be dealt in the light of these instructions. The

provisions of the notification dated 18.9.1990 mentioned in para 1 of the office memorandum under reference have been circulated under Board's letter No.E(D&A)90GS1-10 dated 23.11.1990.

Copy of Ministry of External Affairs(Toshakhana's)Office Memorandum ***No.Q/TK/461/9/90(EAI/91/1/38) dated 23rd Aug.,1991.***

Sub: Receipt and acceptance of gifts by Govt. servants from foreign dignitaries/sources and retention thereof-instructions regarding.

The Foreign Contribution (Regulation)Act, 1976 and the Foreign Contribution (Acceptance or Retention of Gifts or Presentations)Regulations, 1978 govern the acceptance by any person covered under the Act of any gift/presentation, made to him by any foreign source including foreign dignitaries and the procedure/conditions for its retention. The Department of Personnel and Training have also amended the relevant provisions of the CCS(Conduct) Rules, regarding acceptance of gifts from foreign dignitaries vide their Notification No. 11013/18/87 Estt.(A), dated the 18th, September, 1990 to bring these provisions in line with the provisions under the Foreign Contribution (Regulations) Act, 1976.

2. The relevant excepts from the Foreign Contribution (Regulation)- Act, 1976, CCS(Conduct)Rules and a copy of the Foreign Contribution (Acceptance or Retention of Gifts or Presentations) regulations, 1978 regarding acceptance of gifts etc. as members of an Indian delegation from a foreign source, as these exist on date, are enclosed for ready reference.

3. As would be observed from Section 2(1)(C)of the Foreign Contribution (Regulations) Act, an article of gift the market value of which in India, on the date of such gift, does not exceed one thousand rupees, is not treated as "foreign contribution" and is out of the purview of the Act. Acceptance of such gifts is to be regulated under Rule 13 of the CCS(Conduct)Rules. All other gifts, received by any Government servant from a foreign source, otherwise than as member of an Indian delegation shall be dealt with under section 4 of the said Act

4.A copy of the Ministry of Home Affairs' Circular No. II/21022/10(2)/82-FCRA-I, dated the 6th May, 1983, defining the term "Delegation" for the purposes of Foreign Contribution (Regulation) Act, 1970, is also enclosed.

5. The above provisions and instructions may please be brought to the notice of all concerned for information and guidance.

6. This issues in supersession of this Ministry's O.M.No. Q/TK/461/9/90, dated the 26th October, 1990.

ENCLOSURE to M.E.A. O.M.NO.Q/TK/461/9/90 dated 23.08.1991.

1. Extracts from the Foreign Contribution (Regulations)Act, 1976.

Section 2(1)(C): In this Act, unless the context otherwise requires,-"foreign contribution" means the donation, delivery or transfer made by any foreign source:-

(i) Of any article, not being an article given to a person as a gift for his personal use, if the market value, in India, of such article on the date of such gift, does not exceed one thousand rupees.
(ii) of any currency, whether Indian or foreign:
(iii) of any foreign security as defined in clause(i) of Section 2 of the Foreign **Exchange Regulation Act, 1973.**

Section 4(1) : No foreign contribution shall be accepted by any -:
(a) candidate for election.
(b) correspondent, columnist, cartoonist, editor, owner, printer, or publisher of a registered newspaper,
(c) Government servant or employee of any corporation.
(d) member of any legislature,
(e) political party or office-bearer thereof,

Explanation: In clause (c) and in Section 9, "corporation" means a corporation owned or controlled by Government and in clause a Government company as defined in Section 617 of the Companies Act, 1956.

Section 8 :- Nothing contained in Section 4 shall apply to the acceptance, by any person specified in that section, of any foreign contribution, where such contribution is accepted by him, subject to the provision of section 10:-
** ** ** *(d) by way of a gift or presentation made to him as a member of any Indian delegation, provided that such gift or present was accepted in accordance with the regulations made by the Central Government with regard to the acceptance or retention of such gift or presentation;*

2 Extracts from the CCS(Conduct)Rules, 1964.
Rule 13(5):- Notwithstanding anything contained in sub-rules(2),(3) and (4), a Government servant, being a member of Indian delegation or otherwise, may receive and retain gifts from foreign dignitaries if the market value of gifts received on one occasion does not exceed Rs. 1000/-. In all other cases, the acceptance and retention of such gifts shall be regulated by the instructions issued by the Government in this regard from time to time.

Rule 13(6):- A Government servant shall not accept any gift from any foreign firm which is either contracting with the Government of India or is one with which the Government servant had, has or is likely to have official dealing. Acceptance of gifts by a Government servant from any other firm shall be subject to the provisions of sub-rule(4).

3. Copy of the Foreign Contribution (Acceptance or Retention of gifts or Presentations) Regulations, 1978.
Annexure-I
4. Copy of MHA Circular No. II/21022/10(2)/82-FCRA-I.dated 6th May, 1983.

Annexure- II
**

ANNEXURE-I

THE FOREIGN CONTRIBUTION (ACCEPTANCE OR RETENTION OF GIFTS OR PRESENTATIONS) REGULATIONS, 1978 AS AMENDED UPTO 21.4.89

In pursuance of clause(d) of Section 8 of the Foreign Contribution (Regulation)Act, 1976 (49 of 1976), the Central Government hereby makes the following regulations with regard to the acceptance or retention of foreign contribution by way of a gift or presentation made to any person specified in section 4 as a member of any Indian delegation, namely:-

1. Short title and commencement:- (a) These regulations may be called the Foreign Contribution (Acceptance or Retention of Gifts or Presentation) Regulations, 1978.

(2) They shall come into force on the date of their publication in the official Gazette.

2. Definitions: In these regulations, unless the context otherwise requires,

(a) "Act" means the Foreign Contribution (Regulations) Act, 1976(49 of 1976).

(b) Words and expressions used in these regulations and not defined but defined in the Act shall have the meanings respectively assigned to them in the Act.

3. Regulation of acceptance or retention of foreign contribution by way of gift or presentation, -

(1) Any person specified in section 4 of the Act who is a member of any Indian delegation may accept any foreign contribution by way of a gift or presentation made to him as a member of such delegation(hereinafter referred to as such person), subject to the provisions of this regulation.

(2) Where such person receives any foreign contribution by way of gift or presentation, he shall within thirty days of the receipt thereof, intimate to the of the Indian delegation, the secretary to the government of India in the Ministry of Home Affairs, Ministry of External Affairs and the Ministry or the Department of the Government of India sponsoring the delegation of which he is a member, in writing,

(a) the fact of his having received such gift or presentation.

(b) the foreign source from which it is received,

(c) its approximate market value in the country of origin,

(d) the place in which, and the date on which, it is received, and

(e)such other details relating thereto as he may, in the circumstances, consider appropriate;

Provided that in a case where such person received such gift or presentation while he is visiting any foreign country or territory outside India, such intimation may be made by him within thirty days from the date of his return to India;

Provided further that the requirements contained in these regulations shall be complied with by such person if the leader of the Indian delegation is of the opinion that the market value, in India, of such gift(s) or presentations(s) exceeds Rs. 1000/- and the said leader directs in writing to such person to comply such of the requirements of these regulations as may be applicable, in his case.

(2) Every gift or presentation received by such person from any foreign source shall be deposited by him with the secretary to the Government of India in the Ministry or the Department which had sponsored the delegation of which he was the member, within thirty days from the date of intimation by him of such receipt under sub-regulation(2).

(4) The Secretary to the Government of India, referred to in sub-regulation(3), shall forward every such gift or presentation deposited with him to the Toshakhana in the Ministry of External Affairs for assessment of its market value in the country of origin.

(5) Such assessment shall be made within thirty days from the date of receipt of the gift or presentation in the Toshakhana, in accordance with the rules applicable, for the time being in force, to the valuation of articles in the Toshakhana, and such person shall be intimated in writing of such assessment forthwith.

(6) If any question arises relating to the assessment to made under sub-regulation(5) it shall be referred to the Central Government who shall decide the same.

(7) Every such gift or presentation, the market value in the country of origin of which, as assessed under sub-regulation(5), does not exceed three thousand rupees, shall be returned to such person for retention by him.

Provided that where more than one such gift or presentation is received by such person while he is in one delegation, such person be entitled to retain only one such gift or presentation.

Provided further that where more than one gift or presentation has been received by such person,

While he is in one delegation, and the aggregate market value, in India, of all such gifts or presentations, does not exceed Rs.1000/- as determined by the leader of the Indian delegation, such person may retain all such gifts/presentations.

(8) Every such gift or presentation, the market value in the country of origin of which, as assessed under sub-regulation(5), exceeds three thousand rupees shall be retained in the Toshakhana;

Provided such person shall have the option, that exercised by him within thirty days from the date of receipt by him of the intimation under sub-regulation(5), to purchase such gift or presentation on payment of the difference between the market value in the country of origin of such gift or presentation, assessed under sub-regulation(5) and three thousand rupees.

Provided further that option once exercised under this sub-regulation shall be final.

New Delhi. the 28th November, 1990

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ANNEXURE-II

No. II/21022/10(2)/82-FCRA-I.

Government of India
Ministry of Home Affairs

New Delhi, the 6th May, 1983

Sub: Foreign Contribution (Regulation) Act, 1976-definition of the term 'Delegation'.

Certain Ministers/Departments, State Governments etc. are experiencing difficulties in deciding cases of gifts/presentations received by Government servants, who happen to be members of Indian delegation, from certain foreign dignitaries/foreign source. The matter has been considered and it has been decided that ' Indian Delegation' for the purpose of the Foreign Contribution (Acceptance or Retention of Gifts or Presentations)Regulations, 1978 may generally be deemed to be one sponsored by a Ministry/Department of the Central/State Government or any of its subordinate agencies and may consist of a single person or a group of persons nominated to :-

(i) perform a specific duty in a foreign country : or

(ii) represent the country on behalf of the Government or represent a Government Corporation in a conference, seminar, symposium or in an international congress/workshop organised in or outside the Indian territory; or

(iii) participate in a festival, funeral, function etc., in a foreign country on behalf of the Government, or

(iv) receive- accompany foreign dignitaries/ delegation in or outside India.

2. The above is not intended as an exhaustive definition but is only in the nature of clarification for the guidance of Government functionaries and

administrative Ministries. In case of doubt, the matter may be referred to this Ministry for advice.

3 The Ministry of Finance etc., are requested to bring it to the notice of all attached and sub-ordinate offices etc. for information and guidance.

4. This issues in supersession of this Ministry's Circular of even number dated 19th February, 1983.

No. E(D&A)88 GS1-5 dt. 10-08-1988

Sub: Railway services(Conduct)Rules 1966-Redelegation of powers of Railway Board and definition of the term "Small amount" used in Rule 16(4)

In exercise of the powers conferred by Rule 24 read with Rules 2(a)(ii) of the Railway Services(Conduct) Rules 1966, the Railway Board hereby directs as follows:

(1)Powers exercised by the Railway board under sub-rules (3),(4) and (5) of Rule 13 shall also be exercisable by G.M.s of all Indian Rlys./Production Units, Director General /RDSO and the Chief Administrative Officers in respect of Gazetted Officers under their control. The report of gifts and application for permission to accept gifts must contain full particulars of the persons giving the gifts including their permanent income tax number, where monetary gift is involved, full details of the cheque/Bank draft, if any through which the gift is made should be given.
(rest of the letter pertains to other clauses of Conduct Rules-alok)

13-A. Dowry.-

No Railway servant shall-

(i) give or take or abet the giving or taking of dowry; or

(ii) demand, directly or indirectly, from the parents or guardian of a bride or bridegroom, as the case may be, any dowry.

Explanation-For the purposes of this rule 'dowry' has the same meaning as in the Dowry Prohibition Act, 1961(28 of 1961).

In this Act, "dowry" means any property or valuable security given or agreed to be given either directly or indirectly-

(a) by one party to a marriage to the other party to the marriage; or

(b) by the parents of either party to a marriage or by any other person, to either party to the marriage or to any other person;

at or before or after the marriage as consideration for the marriage of the said parties, but does not include dower or mahr in the case of persons to whom the Muslim Personal Law(Shariat) applies.

Explanation I.-For removal of doubts, it is hereby declared that any presents made at the time of a marriage to either party to the marriage in the form of cash, ornaments, clothes or other articles shall not be deemed to be dowry within the meaning of this section, unless they are made as consideration for the marriage of the said parties.

Explanation II.-The expression "Valuable security" has the same meaning as in the section 30 of Indian Penal Code.

"Valuable security".-The words "valuable security " denote a document which is, purports to be, a document whereby any legal right is created, extended, transferred, restricted, extinguished or released, or whereby any person acknowledges that he lies under legal liability, or has not a certain legal right.

14. Public Demonstrations in Honour of Railway Servants.-

No Railway servant shall, except with the previous sanction of the Government receive any complimentary or valedictory address or accept any testimonial or attend any meetings of entertainment held in his honour, or in the honour of any other Government servant :

Provided that nothing in this rule shall apply to-

(i) a farewell entertainment of a substantially private and informal character held in honour of a railway servant or any other Government servant on the occasion of his retirement or transfer or any person who has recently quit the service of any Government ; or

(ii) the acceptance of simple and inexpensive entertainments arranged by public bodies or institutions.

Note.- Exercise of pressure or influence of any sort on any railway servant to induce him to subscribe towards any farewell entertainment even if it is of a substantially private or informal character, and the collection of subscriptions from Group 'C' and Group 'D' employees under any circumstances for the entertainment of any railway or other Government servant not belonging to Group 'C' or Group 'D' is forbidden.

Railway Ministry's decision 1.- Officers in Group A service up to the J.A. Grade should furnish promptly particulars of all invitations received by them from foreign missions in India and accept them only after obtaining the necessary clearance from the Railway Board. Officers in Group B service and below are debarred from accepting such invitations except in very rare cases. All Officers, so permitted, should submit a list of any important and interesting talks or other discussion held with the representative of the foreign missions on matters of interest to the Railway Board.(E(D&A) 57GSI-3 dt.08-01-57)

Railway Ministry's decision 2- Railway servants should refrain from associating themselves with functions inappropriate and inconsistent with the rule of detached impartiality such as to declare buildings etc. open or to lay the foundation stones of new buildings or to allow roads, bridges, parks or public institutions such as hospitals, schools or college to be named after them. When occasions which have a cultural and sociological significance arise, especially in remote areas, prior permission of their superior officer should be obtained.(E(D&A) 60GSI-8 dt.27-03-61)

Railway Ministry' decision 3- While no subscription should be collected from class III and class IV staff when any entertainment is held in honour of a Class II or Class I Officer it is not the intention of the rule that when an entertainment is held in honour of Class III/Class IV staff, a class I or class II Officer should not attend the function as a guest by invitation or on a contributory basis.(E(D&A) 67GS 1-6 dt.04-11-67)

15. Private Trade or Employment .-

(1) Subject to the provisions of sub-rule(2), no Railway Servant shall, except with the previous sanction of the Govt.-

(a) engage directly or indirectly in any trade or business, or

(b) negotiate for, or undertake any other employment, or

(c) hold an elective office, or canvass for a candidate or candidates for an elective office, in any body, whether incorporated or not, or

(d) canvass in support of any business of insurance agency, commission agency, etc., owned or managed by any member of his family, or

(e) take part except in the discharge of his official duties, in the registration, promotion or management of any bank or other company registered or required to be registered, under the Companies Act, 1956 (1 of 1956) or any other law for the time being in force, or of any co-operative society for commercial purposes.

(f) participate in or associate himself in any manner in the making of -

(i) a sponsored media (radio or television) programme ; or

(ii) a media programme commissioned by the Government media but produced by the private agency; or

(iii)a privately produced media programme including video magazine;

Provided that no previous permission shall be necessary in the case where the Railway Servant participates in a programme produced or commissioned by Government media in his official capacity.

alok tells: -Rule 15(1)(f) inserted vide Railway Board's letter No. No.E(D&A)96GS1-8 dt. 17-01-97 *i.e. ACS-48/R-I. See 13-01-98 for ACS numbering.*

(3) A railway servant may without the previous sanction of the Government-

(a) undertake honorary work of a social or charitable nature, or

(b) undertake occasional work of literary, artistic or scientific character, or

(c) participate in sports activities as an amateur

(d) take part in the registration, promotion or management(not involving the holding of an elective office) of a literary, scientific or charitable society or of a club or similar organisation the aims or objects of which relate to promotion of sports, cultural or recreational activities, registered under the Societies Registration Act, 1860 (21 of 1860), or any other law for the time being in force, or

(e) take part in the registration, promotion or management (not involving the holding of elective office) of a co-operative society substantially for the benefit of railway servants, registered under the Co-operative Societies **Act, 1912 (2 of 1912), or any other law for the time being in force:**

Provided that :-

(i) he shall discontinue taking part in such activities, if so directed by the Government; and

(ii) in a case falling under clause (d) or (e) of this sub-rule, his official duties shall not suffer thereby and he shall, within a period of one month of his taking part in such activity, report to the Government giving details of the nature of his participation.

(3) Every railway servant shall report to the government if any member of his family is engaged in a trade or business or owns or manages an insurance agency or commission agency.

(4)Unless otherwise provided by general or special orders of the Govt., no Railway Servant may accept any fee for any work done by him for any private or public body or any private person without the sanction of the prescribed authority.

Explanation.- The term “fee” used here shall have the meaning assigned to it in Rule 103(18) of Indian Railway Establishment Code Vol.I 1985 edition.

 # Fee means a recurring or non-recurring payment to a railway servant from a source other than the “Consolidated Fund of India” or the “Consolidated Fund of a state” or the “Consolidated Fund of Union territory” whether made directly to the railway servant or indirectly through the intermediary of Government, but does not include-

(a) unearned income such as income from property, dividends, and interest on securities; and

(b) income from literary, cultural, artistic, scientific or technological efforts, if such efforts are not aided by the knowledge acquired by the railway servant in the course of his service.

Railway Ministry's decision 1.- It is not permissible for a Railway servant to take an Insurance Agency in his own name and canvass for the same.(E(D&A) 58GSI-40 dt. 07-03-58)

Railway Ministry's decision 2.- Railway servants should not ordinarily be allowed to accept part time employment whether under Government or elsewhere, even though such employment is after office hours.(E(D&A) 58GSI-29 dt. 16-01-59)

Railway Ministry's decision 3.- Railway servants, holding recognised qualification for any system of medicine may be granted permission by the Head of Departments to undertake medical practice during spare time, on a purely charitable basis without detriment to his official duties. This will not apply to those who possess the qualification and are employed as physician, surgeon etc. on the Railways. (E(D&A) 64 GSI-5 dt.30-5-64. and 10-11-65)

Railway Ministry's decision 4.- No railway servant should negotiate for commercial employment during service without obtaining the prior permission of the Head of the Department and such permission should not be given unless there are any special reasons for doing so. (E(G) 66 EM 1-2 dt. 26-03-66)
alok tells: -Rule 15 substituted vide Railway Board's letter No. No.E(D&A)91GS1-15 dt. 25-11-91 & 09-12-92 *i.e. ACS-22/R-I*

Railway Board's important letters on rule 15.

No. E(D&A)94 GS1-6 dt. 15-09-1994

Sub: Rule 15 of the Railway Services(Conduct) Rules, 1966 - railway servants contesting elections to sports bodies.

A Copy of the Department of Personnel's O.M.No. 11013/9/93-Estt(A) dated 22.4.94 on the above subject is enclosed herewith for information and guidance of all concerned. Rules 12 & 15 of the CCS (Conduct)Rules referred to therein correspond to Rules 12 & 15 of the Railway Servants (Discipline & Appeal)Rules.

Please acknowledge receipt.
Copy of Ministry of Personnel, Public Grievances & Pensions (Department of Personnel & Training)office Memorandum No. F 11013/9/93-Estt(A) dated 22.4.94.

Sub: CCS(Conduct)Rules, 1964-Rule 15-contesting in elections to Sports bodies etc.

As the Ministries/departments are aware, previous sanction of the Government is required as per Rule 15(1) of the CCS(Conduct) Rules, 1964 for a Government servant to hold an elective office or canvass for a candidate or candidates for an elective office, in any body, whether incorporated or not. Under Rule 12 of the CCS(Conduct)Rules, previous sanction of the Government or of the prescribed authority is also necessary for a Government servant associating himself with raising of any funds or other collections in pursuance of any object whatsoever.

It hardly needs to be emphasised that the entire time of the Government servant, particularly a senior officer, should be available to the Government and no activities unconnected with his official duties should be allowed to interfere with the efficient discharge of such duties. The need for curbing the tendency on the part of Government servant to seek elective office in sports federations/associations at the national/state level has been considered carefully and it has been decided that the following principles should be followed while considering request from Government servants for seeking election to or holding elective offices in sports federations/associations at the national/state level has been considered carefully and it has been decided that the following principles should be followed while considering requests from Government servants for seeking election to or holding elective offices in sports federations/associations:-

i) No Government servant should be allowed to hold elective office in any sports association/federation for a term of more than 4 years, or for one term whichever is less.

ii) While seeking office (for which prior permission of Government should be obtained) or supporting the candidature of any person for election to sports bodies, a Government servant should not indulge in conduct unbecoming of a government servant.

iii) A Government servant must refrain from raising of funds or other collections from official as well as non-official sources for the promotion of sports at any level.

iv) Prior clearance from the Government of India must be obtained for any travels abroad in connection with the work or other activities of any sports federations/associations. While seeking such clearance the officer must indicate the source of funding for the foreign trip including travel, hospitality and other expenses and when permitted to go, he must do so by availing of leave due and admissible to him.

2. Ministries/Departments are requested to ensure that these instructions are conveyed to all concerned and enforced strictly.

2. In so far as persons serving in the Indian Audit and Accounts Department are concerned these instructions are being issued after consultation with the Comptroller and Auditor General of India.

No. E(D&A)93 GS1-1 dt. 30-07-1993

Sub: Rule 15 of the Railway Services(Conduct) Rules, 1966-clarification regarding.

A copy of the Department of Personnel and Training's O.M. No. 35014/6/92-Estt(A) dated 10.6.93 on the above subject is enclosed for information and guidance.

Please acknowledge receipt.

Copy of Ministry of Personnel, P.G.& Pensions(Deptt. of Personnel & Training)'s O.M. No. 35014/6/92-Estt(A) dated 10th June, 1993.

Sub: Rule 15 of the CCS(Conduct) Rules, 1964-Clarification regarding.

The undersigned is directed to say that the staff side in the National/Council (JCM) has pointed out that officials in some of the Department are being prohibited from holding elective offices in Government cooperative societies and in that context has urged for suitable amendment to Rule 15 of the CCS(Conduct) Rules, 1964. The official side, while holding that no amendment of the rule is necessary, has however, agreed to issue clarificatory instructions in the matter.

2. Rule 15(1)(c) of the CCS(Conduct) Rules provides for previous sanction of the Government being taken by a Government servant for holding an elective office in any body, whether incorporated or not Rule 15(2)(d) provides that a Government servant may, without previous sanction of the Government take part in the registration, promotion or management(not involving the holding of elective office) of a literary, scientific or charitable society or of a club or similar organisation, the aims or objects of which relate to promotion of sports, cultural or recreation activities, registered under the Societies Registration Act, 1960 or any law for the time being in force. Thus, there is no bar, as such, on a Govt. servant holding an elective office and the rules only provide for previous sanction of the Government being taken for this purpose. Holding an elective office in a body or society covered under Rule 15(1)(c) and 15(2)(d) would generally involve exercise of some administrative responsibilities in that organisation. Subject to the administrative authority satisfying itself that this will not interfere in any manner with the discharge of official duties by the Govt. servant concerned, the question of permitting Govt. servants to hold elective office can be considered.

3. The position under the rules, as clarified in the preceding para, may be kept in view by the Ministries/Departments while considering the requests of Govt. servants for permission to seek/hold elective office in a body or society covered under Rule 15(1)(c) and 15(2)(d) of the CCS(Conduct) Rules, 1964.

No. E(D&A)89 GS1-2 dt. 27-04-1989

Sub: Rule 15 of the Railway Services Conduct Rules 1986- canvassing in support of business owned or managed by members of family.

A copy of the Department of Personnel and Training's Office Memorandum No. 11013/1/89-Estt. (A) dated 17.3.89 on the above subject is sent herewith for information and compliance.

Copy of Department of Personnel and Training, Ministry of Personnel, P.G. and Pension's New Delhi's Office Memorandum No. 11013/1/89-E#st..(A) dated 17th March, 1989.

Sub: CCS(CONDUCT)Rules,1964-Canvassing in support of business owned or managed by members of family.

The undersigned is directed to say that under Rule 15(1)(d) of the CCS(Conduct)Rules, 1964, no Government servant shall, except with the previous sanction of the Government, canvass in support of any business of insurance agency, Commission etc. owned or managed by any member of his family. Sub-Rule(3), ibid further provides that every Government servant shall report to the Government if any member of his family is engaged in a trade or business or owns or manages an insurance agency or commission agency.

2.The business of advertising agencies carried on by a member of the family of a Government servant, besides other similar services, is thus covered under the aforesaid rules. A Government servant shall not, except with the previous sanction of the Government, canvass in support of any such business.

3. It is requested that the aforesaid facts and provisions of the Conduct Rules may please be brought to the notice of all Government servants working under the administrative control of various Ministries and Departments for information and strict compliance.
No. E(D&A)89 GS1-3 dt. 29-04-1989/01-05-1989

Sub: Railway Services Conduct Rules,1966-Participation of Government servants in competitions/events organised by Private companies etc. with the objective of promoting their products.

A copy of Department of Personnel and Training's Office Memorandum No. 11013/.2/89-Estt.(A) dated 28.3.1989 on the above subject is sent herewith for information and guidance.

Copy of Department of Personnel and Training, Ministry of Personnel, P.G., and Pensions, New Delhi's Office Memorandum No. 11013/2/89-Estt.(A)dated 28.3.1989.

Sub: CCS(Conduct) Rules, 1964-Participation of Govt.servants in competitions/events organised by Private companies etc. with the objective of promoting their products.

The undersigned is directed to say that insurances have come to notice where Government servants participated in competitions and other social events organised by some private companies and organisations with the objective of promoting their business interests. Attention in this regard is invited to the provisions of Rule 15 of the CCS (Conduct) Rules, 1964 which provides inter alia, that while a Government servant may undertake honorary work of a social or charitable nature or take part in sports activities as an amateur, he should not, except with the previous sanction of the Government, engage directly or indirectly in any trade or business or take part in the registration, promotion or management of any company or co-operative, society etc. for commercial proposes.

2.The social events and competitions promoted by various private companies can be put into different categories:

(i)Where the social events are organised purely with an intention to promote the business interests of the company and the competitiveness amongst the participants is not relevant.

(iii) Where the competition by way of games and sports are sponsored by private companies and the spirit of the competitiveness amongst the participants is very much evident.

The nature of events referred to in item (i) above are quite distinct from those referred to in item (ii) as in the latter case, it is the competitions or the event which remains in the forefront and not the sponsors and as such the involvement of the private companies as sponsors can not be taken as solely for the purpose of promotion of their business interests.

3. The Government servants are advised not to take part in any competition or social event referred to in item(i) of para 2 organised by private companies or organisations, the primary objective of which is only to promote their business activities or their products, without the prior sanction of the Government. Such a participation without the previous sanction is liable to be construed as a violation of the provisions of Rule 15 of the Conduct Rules. However, the participation in the events referred to in item (ii) of the preceding para does not require any previous sanction of the Government.

4. Ministry of Agriculture etc. may please bring these instructions to the notice of all Government servants working under their control.

15. Private trade or Employment – (1) Subject to the provisions of sub-rule (2) no Railway Servant shall except with the previous sanction of the Government.

(a) engage directly or indirectly in any trade or business, or

(b) negotiate for, or undertake, any other employment, or

(c) Hold an elective offence, or canvass office for a candidate or candidates for an elective office, in any body , whether incorporated or not, or

(d) Canvass in support of any business of insurance agency, commission agency, etc, owned or managed by any member of his family or

(e)

(f) take part except in the discharge of his official duties, in the registration, promotion or management of any bank or other company registered or required to be registered under the Companies Act. 1956 (1 of 1956) or any other law for the time being in force, or any co-operative society for commercial purpose.

(g) Participate in or associate himself in any manner in the making of

(i) a sponsored media (radio or television) programme, or

(ii) a media programme commissioned by Government media but produced by a private agency; or

(iii) a private produced media programme including video magazine.

Provided that no previous permission shall be necessary incase where the Railway servant participates in programme produced or commissioned by Government media in his official capacity.

(Authority: Railway Board's Letter nO. E(D&A)96GS-18 dated 7.1.1997)

(4) A railway servant may, without the previous sanction of the Government-

(a) under take honorary work of a social or charitable nature, or

(b) Undertake occasional work of a literary, artistic or scientific character, or

(c) participate in sports activities as an amateure, or

(d) take part in the registration, promotion or management(not involving the holding of an elective office) of a literary, scientific or charitable society or of a club or similar organization the aims or objects of which relate to promotion of sports, cultural or recreational activities, registered under the Societies Registration Act, 1860 (21 of 1860), or any other law for the time being in force, or

(e) take part in the registration, promotion or management (not involving the holding of an elective office) of a co-operative society Act, 1912 (2 of 1912) or any other law for the time being in force

Provided that :-

(i) he shall discontinue taking part in such activities, if no directed by the Government; and

(ii) .in a case falling under clause (d) or clause (e) of this sub-rule, his official duties shall not suffer thereby and he shall, within a period of one month of his taking part in such activity, report to the Government giving details of the nature of his participation

(3) Every railway servant shall report to the Government if any member of his family is engaged in a trade or business or owns or manages an insurance agency or commission agency.

(4) Unless otherwise provided by general or special orders of the Government, no Railway servant may accept any fee for any work done by him for any private or public body or any private person without the sanction of the prescribed authority.

Explanation : The term 'fee' used here shall have the meaning assigned to it in Rule 103 (18)-R.I.

Railway Ministry's decision – (1) It is not permissible for a Railway servant to take an Insurance Agency in his own name and canvass for the same.
(E(D&A) 58 GSI-40 dt. 07.3.58)

Railway Ministry's decision (2) Railway servants should not ordinarily be allowed to accept part time employment whether under Government or elsewhere, even though such employment is after office hours.
(9E(D&A)58 GSI-29 dt. 16.1.59)

Railway's Ministry's decision (3) Railway servants, holding recognized qualification for any system of medicine may be granted permission by the Heads of Departments to undertake medical practice during spare time, on a purely charitable basis without detriment to his official duties. This will not apply to those who possess the qualification and are employed as physicians, surgeons etc., on the Railways.
(E D&A) 64 GSI-5 dt. 39-5-64 and 10-11-65.

Railway's Ministry's decision (4) No railway servant should negotiate for commercial employment during service without obtaining the prior permission of the Head of the Department and such permission should not be given unless there are any special reasons for doing so.
(E(G)6EM1-2 dt. 26-3-66)

15A.- Sub-letting and vacation of Government accommodation.-

(1) Save as otherwise provided in any other law for the time being in force, no Railway servant shall sub-let, lease or otherwise allow occupation by any other person of Government accommodation which has been allotted to him.

(2) A Railway servant shall, after the cancellation of his allotment of Government accommodation vacate the same within the time-limit prescribed by the allotting authority.
alok tells: -Rule 15A inserted vide Railway Board's letter No. No.E(D&A)96GS1-8 dt. 17-01-97 *i.e. ACS-49/R-I. See 13-01-98 for ACS numbering.*

Railway Board's important letters on rule 15A.

No. E(D&A)89 GS1-3 dt. 19-06-1998

Sub:Sub-letting of Government accommodation by Rly. employees-departmental action against.

Rule 15A of the railway Services (Conduct) Rules, 1966 provides that save as otherwise provided in any other law for the time being in force, no railway servant shall sub-let, lease or otherwise allow occupation by any other person of Government accommodation which has been allotted to him.

2. The Department of Personnel & training vide their O.M. No. 11012/2/97-Estt(A) dated 31.12.1997 (Copy enclosed) have issued instructions regarding initiation of disciplinary proceedings against those Government servants against whom charges of sub-letting of allotted Government residential accommodation have been established by the Directorate of Estates. These instructions may be adopted mutatis mutandis to deal with the cases of sub-letting of Government accommodation by Railway employees. As soon as the charge of sub-letting is established by the poolholder, the allotment of quarter will be cancelled and the disciplinary authority shall initiate disciplinary proceedings against the Railway

servant concerned. In such cases, the competent authority may consider placing the delinquent railway servant under suspension also. It may also please be ensured that chargesheets are issued immediately in cases where employees are likely to retire shortly or where they have already retired, since such cases are likely to become time barred for initiation of disciplinary proceedings by virtue of the misconduct being more than four years old.

Please acknowledge receipt.

F 11012/2/97-Estt.(A) dated 31st December ,1997

OFFICE MEMORANDUM

Subject: Sub-letting of Government accommodation- departmental action against.

The undersigned is directed to say that the Hon'ble Supreme Court in its order passed on 29.11.96 in Writ Petition No. 585/94 (S.S. Tiwari Vs. UOI & Others) had directed that disciplinary proceedings be initiated against the Government servants who sub-let their accommodation allotted to them by the Government. It was also directed that the findings of the Directorate of Estates regarding sub-letting shall be binding on the disciplinary authority for the purpose of initiating the disciplinary proceedings. The relevant extract from the order of the supreme Court is reproduced below :-

Rule 15-A has been inserted under the Central Civil Services (Conduct) Rules, 1965 by the Notification dated August 16, 1996 as published in the Government Gazette dated 31 August, 1996. The said Rule is as under:-

15 A. Sub-letting and vacation of Government accommodation.

(1)Save as otherwise provided in any other law for the time being in force, no Government servant shall sub-let, lease or otherwise allow occupation by any other person of the Government accommodation which has been allotted to him.

(2) A Government servant shall, after the cancellation of his allotment of Government accommodation vacate the same within the time limit prescribed by the allotting authority.

It is thus obvious that a Government servant who sub-lets the Government accommodation or otherwise allows occupation by any other person of the said accommodation, that would per so amount to misconduct.

Even otherwise, keeping in view the shortage of Government accommodation and thousands of Government employees on wait list for years together (even today, according to Mr. Harcharanjit Singh, the wait list in certain types of houses is 20 years), the sub-letting of the Government accommodation by the Government servant for pecuniary gain is a grave misconduct. It is, therefore, obligatory for the disciplinary authority of the department-concerned to initiate disciplinary proceedings against concerned Government servants under Rule 14 of the CCS(CCA) Rules, 1965. As soon as the allotment is cancelled by the Directorate of Estate on the

ground of sub-letting, the disciplinary authority of the Department concern shall initiate disciplinary proceedings against the Government servant concerned. The findings of the Directorate of Estates regarding sub-letting shall be binding on the disciplinary authority for the purpose of initiating the disciplinary proceeding. Once the disciplinary proceedings are initiated, the procedure laid down under the CCS(CCA) Rules shall take its own course. Since the disciplinary proceedings in such cases would be initiated on a charge of grave misconduct, the competent authority may consider placing the delinquent Government servant under suspension.

2. All Ministries/Departments/Offices etc. are requested to bring the above ruling of the Supreme Court to the notice of all concerned under their control and to ensure that disciplinary proceedings are initiated against the Government servants in whose cases sub-letting of allotted Government residential accommodation has been established by the Directorate of Estates. It may be ensured that chargesheets are issued immediately in cases where persons are likely to retire shortly or those cases which are likely to become time-barred or which are by virtue of the misconduct being more than four years old.

16. Investment, lending and borrowing.-

(1) No railway servant shall speculate in any stock, share or other investments.

Provided that nothing in this sub-rule shall apply to occasional investments made through stock brokers or other persons duly authorised and licensed or who have obtained a certificate of registration under the relevant law.

Explanation-Frequent purchase or sale or both of shares, securities or other investments shall be deemed to be speculation within the meaning of this sub-rule.

(2) No railway servant shall make, or permit any member of his family or any person acting on his behalf to make, any investment which is likely to embarrass or influence him in the discharge of his official duties. For this purpose, any purchase of shares out of the quotas reserved for the directors of companies or their friends and associates shall be deemed to be an investment which is likely to embarrass the Railway servant.

alok tells: -Rule 16(1) & 16(2) substituted vide Railway Board's letter No. No.E(D&A)96GS1-8 dt. 17-01-97 *i.e. ACS-50/R-I.See 13-01-98 for ACS renumbering.*

(3) If any question arises whether any transaction is of the nature referred to in sub-rule(1) or sub-rule(2), the decision of the Government thereon shall be final.

(4)(i)No railway servant shall, save in the ordinary course of business with a bank or a public limited company either himself or through any member of his family or any other person acting on his behalf-

(a) lend or borrow or deposit money, as a principal or an agent, to or from, or with, any person or firm or private limited company with whom he is likely to have

official dealings or otherwise place himself under pecuniary obligation to such person or firm or private limited company ; or

(b) lend money to any person at interest or in a manner whereby return in money or in kind is charged or paid:

Provided that a railway servant may give to, or accept from, a relative or a personal friend, a purely temporary loan of a small amount free of interest, or operate a credit account with a bonafide tradesman or make an advance of pay to his private employee :

Provided further that nothing in this sub-rule shall apply in respect of any transaction entered into by a railway servant with the previous sanction of the Government.

(ii) When a railway servant is appointed or transferred to a post of such nature as would involve him in the breach of any of the provisions of sub-rule(2) or sub-rule(4), he shall forthwith report the circumstances to the competent authority and shall thereafter act in accordance with such order as may be made by such authority.

Railway Ministry's decision.- Loan taken from LIC by the Railway servants against their Insurance policies will be covered by the exception provided in the above rule and permission of the government will not be necessary.(E(D&A) 68 GSI/21 dt. 21-11-68)

Railway Board's important letters on rule 16.

No.E(D&A)92/GS/1-2 dt. 7/21-05-92

Sub: Railway Services(Conduct) Rules, 1966-Transaction in sale and purchase of shares and debentures. etc.

A copy of the Department of Personnel's O.M. No. 11013/6/92-Ests.(A) dated 8.4.1992 relating to intimations of transactions in sale and purchase of shares, debentures, etc. is enclosed. Sub-Rules (3) & (4) of Rule 18 and Sub-Rule (1) of Rule 16 of the CCS(Conduct) Rules 1964 mentioned in the enclosed O.M. correspond to Sub-Rule (3) & (4) of Rule 18 and Sub Rule (1) of Rule 16 respectively of the Railway services (Conduct) Rules, 1966.

The instructions contained in the enclosed O.M. dated 08.04.1992 may be brought to the notice of all concerned for compliance.

Please acknowledge receipt.

Copy of Ministry of Personnel, Public Grievances & Pensions, Department of Personnel & Training. O.M. No. 11013/6/91-Ests(A) dated 8th April, 1992.

Sub: CCS (Conduct) Rules, 1964-transactions in sale and purchase of shares and debentures etc.

As the Ministries/Departments are aware, the provisions of sub-rule(4) of Rule 18 of the CCS(Conduct) Rules, 1964 provide that the Government or the prescribed

authority may, at any time, by general or special order, require a Government servant to furnish within a period specified in the order, a full and complete statement of such movable or immovable property held or acquired by him or on his behalf or by any member of his family as may be specified in the order. Such statement shall, if so required by the Government or by the prescribed authority, includes the details of the means by which or the source from which, such property was acquired.

2. Sub-Rule (1) of Rule 16 also provides that no Government servant shall speculate in any stock, share or other investment. It has also been explained that frequent purchase or sale or both, of shares, securities or other investments shall be deemed to be speculation within the meaning of this sub-rule.

3. It has been brought to the notice of the /Government that a number of employees are investing in shares, securities and debentures etc. frequently with a view to enable the administrative authorities to keep a watch over such transactions, it has been decided that an intimation may be sent in the enclosed proforma to the prescribed authority in the following cases:-

(i) Group 'A' and 'B' Officers- If the total transactions in shares, securities, debentures or mutual funds scheme etc. exceeds Rs. 50,000/- during the calendar year.

(ii) Group 'C' & Group 'D' Officers- If the total transactions in shares, securities, debentures or mutual funds scheme etc. exceeds Rs. 25,000/- during the calendar year.

4. It is clarified that since shares, securities, debentures etc. are treated as movable property for the purpose of Rule 18(3) of the CCS(Conduct) Rules, 1964 if an individual transaction exceeds the amount prescribed in Rule 18(3) , the intimation to the prescribed authority would still be necessary.

The intimation prescribed in para 3 will be in addition to this, where cumulative transaction(s) i.e. sale, purchase or both in shares, securities, debentures or mutual funds etc. in a year exceed the limits indicated in para 3.

5. In so far as the personnel serving in the Indian Audit and Accounts Department are concerned, these instructions are being issued after consultation with the Comptroller and Auditor General of India.

6. Ministry of Agriculture etc. are requested to bring these instructions to the notice of all concerned authorities under their control.

Form for giving intimation under Rule 18(4) of CCS(Conduct) Rules, 1964 for transactions in shares securities, debentures and investment in mutual fund schemes etc.

1. Name and designation.
2. Scale of pay and present pay.
3. Details of each transaction made in shares, securities, debentures, mutual funds scheme etc. during the calendar year.

4. Particulars of the party/firm with whom transaction is made:-
(a) Is party related to the applicant?
(b) Did the applicant have any dealings with the party in his official capacity at any time or is the applicant likely to have any dealing with him in the near future.

5. Source or sources from which financed:-
(a) Personal savings.
(b) Other sources giving details

6. Any other relevant fact which Applicant may like to mention.
Declaration :-
I hereby declare that the particulars given above are true.
Station: Signature
Date: Designation

No.90/E(O)II/20/6 dt.17.01.1991.

Sub: Rly. Services Conduct Rules, 1966 Accepting large amounts as loan.

A large number of cases are being reported to the Board involving large amounts of interest free loans taken from friends and or relatives and seeking permission for the transaction.

In such cases Railway should satisfy themselves about the bonafides of the transaction in accordance with the extant instructions circulated vide Boards letter No. E(D&A)87 GSI-1 dt. 13.2.90 and ensure that all the formalities laid down in this regards have been followed. A sentence to this effect may also be included in all the communications which have to be made to Rly. Board for information only.
No. E(D&A)90 GS1-1 dt. 13-02-1990 ED(estt.) d.o. to AGM/ER

Sub: Railway services(conduct)Rules, 1966 permission to accept interest free loan gift etc.-clarification thereof.

Kindly refer to your d.o. No. SP/CR/BG/3510 dated 11.01.90*(annexed)* addressed to Secretary, Railway Board on the above subject.

2. We have had occasion to recently consider the issue raised in your d.o. letter in consultation with the DOP, who are having identical rules. A railway servant is not required to obtain any prior sanction for accepting loan even if it exceeds "small amount" an interest except in cases where the prohibition laid down in rule(16(4)(i) is attracted. This prohibition comes into play if the railway servant concerned lends or borrows etc. from a person, firm or company with whom he is likely to have official dealings or places himself under pecuniary obligation to such person, firm or company.

3. However, with the amendment made to Rule 18(3) relating to transaction in immovable property vide Boards letter No.E(D&A)87 GS-1-12 dated 30th October, 1987, all loans exceeding the prescribed limits are required to be reported etc. under Rule 18(3).
I hope the position is now clear with the clarifications given above.

Above clarification of ED/estt was in response to d.o. letter of AGM/ER. The letter is quoted below.

Copy of Shri M.M.L. Sharma, Addl. General Manager, Calcutta's D.O. letter No. SP/CR/BC/3510 DATED 11.01.90 addressed to Shri A.N. Shukla, Secretary(E),Railway Board.

Sub: Railway Services Conduct Rules, 1966 Permission to accept interest free, loan, gifts, etc.-clarification thereof.

Ref: Boards letter No.E(D&A)88 GS1-5 dt. 10.08.1988.

As per Boards letter No.E(D&A)88GS1-5 dated 10.8.1988, powers have been delegated to GMs/AGMs/SDGMs in respect of Sub-rules (3),(4) & (5)of Rule 13, Rule 16(4)and Rule 18(2) vide items 1 & 2. In view of the fact that the limit of interest free temporary loan has been raised to Rs. 10,000/-only (vide item 3 of the Bd's said letter)this railway, as usual, has been referring the matter pertaining to int. free loan beyond Rs 10,000/-to Railway Board for approval, in spite of the delegation of powers stated above. Since quite in a number of cases Board's communication has not been received yet and we have a confusion as to whether all cases of int. free loans irrespective of amount (in connection with immovable property/gifts etc. etc.) should be dealt with locally as per Board's letter dt. 10.8.88, a line in confirmation enlightening the points raised would be highly appreciated.

It is scarcely necessary to cite here that in the absence of Board's approval on the cases already sent, not only have we been receiving series of reminders from the officers concerned but in some cases, the proposed transactions had to be cancelled by many of them. The clarification is all the more necessary to comply with the time limit imposed vide Board's letter no.E(D&A)89 GS1-11 dt. 24.10.89.

Board's reply may kindly be expedited.

No.E(D&A)88/GS/1-17 dt. 06-01-1989.

Sub: Railway Services (Conduct) Rules 1966-Transactions relating to acquisition/ disposal of buildings(residential or otherwise) under Sub-rule(2) of Rule 18 -submission of 'building plans'.

Attention is invited to Railway Board's letter No. E(D&A)76 GS1/2 dated 30.4.76 relating to the form/application to the prescribed authority for the building of or addition to house and form of report after completion of the building or additions in a house. Attention is also invited to Railway Board's letter No. E(D&A)86 GS1-9 dated 08.10.86 under which forms for obtaining permission and or giving intimation in respect of transactions in immovable property under Rule 18(2) have been prescribed. It has now been decided that wherever there is transaction involving acquisition of disposal of any building (residential or otherwise), including construction of a house/building or effected additions thereto, the Railway Servant concerned while reporting the transaction or seeking permission for the transaction under Rule 18(2) should submit "building plans" showing the plinth area/covered area of the building and/or addition to the building involved in the proposed transaction. It is considered that submission of such a 'building plan' would assist in

assessing the approximate cost of construction etc. as well as provide a record for a future check to ensure that the transaction is carried out through bonafide sources and with the permission/knowledge as the case may be, of the Government.

The above instructions may be circulated to all Railway servants under your control.
No. E(D&A)88 GS1-5 dt. 10-08-1988

Sub: Railway services(Conduct)Rules 1966-Redelegation of powers of Railway Board and definition of the term "Small amount" used in Rule 16(4)

In exercise of the powers conferred by Rule 24 read with Rules 2(a)(ii) of the Railway Services(Conduct) Rules 1966, the Railway Board hereby directs as follows:

(1)Powers exercised by the Railway board under sub-rules (3),(4) and (5) of Rule 13 shall also be exercisable by G.M.s of all Indian Rlys./Production Units, Director General /RDSO and the Chief Administrative Officers in respect of Gazetted Officers under their control. The report of gifts and application for permission to accept gifts must contain full particulars of the persons giving the gifts including their permanent income tax number, where monetary gift is involved, full details of the cheque/Bank draft, if any through which the gift is made should be given.

(2)The powers exercised by Railway board under 16(4) relating to sanction for lending/borrowing to or from a person/company having official dealing with the Officer concerned, or lending to any person at interest etc. shall also be exercisable by General Managers of Indian Railways/Production Units, Director General (RDSO) and Chief administrative Officers in respect of Gazetted officers under their control. Such powers of the Railway Board shall also be exercisable by Addl. GMs /Sr.D.G.Ms on Zonal Railways in respect of Gazetted Officers below the S.A. Grade.

2. Under Rule 18(2) of the Conduct Rules, transactions in immovable property can be made only with previous knowledge of the Government and previous sanction of the government has to be obtained if such transaction is with a person having dealings with the Railway servant concerned. Government for this purpose , is the Railway Board in the case of Group 'A' and 'B' Officers. However, the powers of the Railway Board in this regard have been delegated to G.M.s subject to the condition that in all such cases of reporting of transactions/sanctions to transactions relevant details shall be sent to the Railway Board. Such details should continue to be sent to Railway Board's office.

3. In the proviso to Rule16(4) of the above rules, it is laid down that a Railway Servant may give to accept from a relative or a personal friend a purely temporary loan of a "small amount" free of interest. The question of defining the term "small amount" has been under consideration . It has been decided that , for the present , the term "small amount" may be taken to mean amounts up to Rs.10,000/- in the case of Gazetted Officers and Rs. 5000/- in the case of all other Railway staff. It is also decided that where transactions involving giving or taking of loan is involved requiring report to the competent authority, it is incumbent on the Railway Servants concerned to furnish full details of the cheque/draft on the bank concerned, through which transaction is effected. It is pointed out in this connection that under the

present law, payments exceeding Rs.10,000/- cannot be made in cash and have to be made through cheque or bank draft only.

The above instructions may also please be brought to the notice of all Railway Servants.

No. E(D&A)85 GS1-4 dt. 12-12-1985

Under Railway Board's letter No. E(D&A) 79GS1-5 dated 15-06-1979 clarifications in regard to sub-rules 2&3 of Rule 18 of the Conduct Rules were communicated. As per these clarifications, transactions entered into by the spouse or any other member of the family of a Railway Servant out of his or her own funds(including Stridhan, Gifts, inheritance etc.), as distinct from the funds of the railway servant itself, in his or her own right, would not attract the provisions of sub-rules (2)&(3) of Rule 18 of the conduct rules.

2. With reference to the aforesaid clarifications, an apprehension has been expressed that a railway servant could irregularly acquire immovable/movable property with money received from 'dubious sources' but may not intimate such transactions to the Government on the plea that the property was his wife's property in which his funds have not been used.

3. It is not possible to place an obligation on the railway servants to inform or seek permission for transactions entered into by the spouse or other members of the family in their own right and from their own funds. This is because sub-rules(2) & (3) of Rule 18 of the Conduct Rules are applicable only to transactions made by Railway Servant in their own name, etc. and not to those made by their spouse/family members exclusively in their own right, from their own funds and it will , therefore, mean going beyond the scope of the statutory rule if an obligation as aforesaid were to be placed. It is , however, pointed out that if any case comes to notice where there are grounds to suspect that the railway servant has illegally channelised his own funds for a transaction in the name of some other person it is always open to the Competent Authority to call for such explanation and to make such investigations as may be necessary to establish the facts regarding the resources used for raising the funds.

16. Investment, lending and borrowing- (1) No Railway Servant shall speculate in any stock, share or other investment;

Provided that nothing in this sub rule shall apply to occasional investments made through tock brokers or other persons duly authorized and licensed or who have obtained a certificate of registration under the relevant law.

Explanation – Frequent purchase or sale or both, of shares, securities or other investments shall be deemed to be speculation within the meaning of this sub-rule.

(2) (i) No Railway servant shall make, or permit any member of his family or any person acting on his behalf to make any investment, which is likely to embrass, or influence him in the discharge of his official duties. For this purpose, any purchase

of shares out of the quotas reserved for Directors of Companies or their friends and associates shall be deemed to be an investment, which is likely to embarrass the Railway Servant

Authority: Railway Board's letter No. E(D&A)96 GS 1-8 dt. 17.01.1997)

In the Railway Services (Conduct) Rules, 1966, in Rule 16, sub-rule (2) shall be re-numbered as sub-rule (2)(i) thereof, and after that sub-rule as so renumbered, the following clause shall be inserted, namely:-

"(2)(ii) No Railway servant who is involved in the decision making process of fixation of price of an Initial Public Offering or Follow-up Public Offering of shares of a Central Public Sector Enterprise shall apply, either himself or through any member of his family or through any other person acting on his behalf, for allotment of shares in the Initial Public Offerings or Follow-up Public Offerings of such Central Public Sector Enterprise". (Authority: Railway **Board's letter No.E(D&A) 2009/GS1-4 dated 14/7/2009)**

(3) If any question arises whether any transaction is of the nature referred to in sub-rule (1) or sub-rule (2), the decision of the government thereon shall be final.

(4) (i) No railway servant shall, save in the ordinary course of business with a bank or a public limited company either himself or through any member of his family or any othr person acting on his behalf-

(a) Lend or borrow or deposit money, as a principal or an agent, to or from or with, any person or firm or private limited company with whom he is likely to have official dealings or otherwise pace himself under pecuniary obligation to such person or firm or private limited company; or

(b) Lend money to any person at interest or in a manner whereby return in money or in kind is charged or paid.

Provided that a railway servant may give to, or accept from, a relative or a personal friend, a purely temporary loan of a small amount free of interest, or operate a credit account with a bonafide tradesman or make an advance or pay to his private employee.

Provided further that nothing in this sub-rule shall apply in respect of any transaction entered into by a railway servant with the previous sanction of the Government.

(ii) When a railway servant is appointed or transferred to a post of such nature as would involve him in the breach of any of the provisions of sub-rule(2) or sub-rule(4), he shall forthwith report the circumstances to the competent authority and shall thereafter act in accordance with such order as may be made by such authority.

Railway Ministry's decision – Loan taken from LIC by the Railway servant against their Insurance policies will be covered by the exception provided in the above rule and permission of the Government will not be necessary.

(E(D&A)68 GSI/21 dt. 21-11-1968)

17. Insolvency and Habitual Indebtedness.-

(1) A railway servant shall so manage his private affairs as to avoid habitual indebtedness or insolvency. A railway servant against whom any legal proceeding is instituted for the recovery of any debt due from him or for adjudging him as an insolvent shall forthwith report the full facts of the legal proceedings to the Government.

Note.- The burden of proving that the insolvency or indebtedness was the result of circumstances which, with the exercise of ordinary diligence, the railway servant could not have foreseen, or over which he had no control, and had not proceeded from extravagant or dissipated habits, shall be upon the railway servant.

(2) The following procedure shall be followed in the case of non-gazetted railway servants:-

(i) The report required under sub-rule(1) above shall be submitted by the railway servant to his immediate superior who should forward it through the normal channels to the authority competent to remove or dismiss the employee from service. Except where such authority requires guidance or clarification from a higher authority, it shall consider and pass appropriate orders thereon. A railway servant desiring to seek the benefit of the Insolvency Act shall apply to the Head of his Department, or to such authority as the Government may specify in this behalf, for permission to file a Schedule in a Court of Law. At the same time, he shall explain in such form as the Government may prescribe in this behalf all the circumstances which led to his financial embarrassment. The said authority will then consider his case in the light of those circumstances.

If the railway servant can prove that the indebtedness was the result of circumstances, which, with the exercise of ordinary diligence, he could not have foreseen or over which he had no control, and did not proceed from extravagant or dissipated habits and if as the result of investigation, the said authority considers that sufficient justification exists for the retention of the employee in service, he may permit him to have recourse to the court. Otherwise he should take steps either to dismiss or remove the employee from service as the circumstances of the case may warrant. If a railway servant asks for permission to seek the benefit of the Insolvency Act for a second time such permission may not be granted by an authority lower than the General Manager or Head of Office, who, if he decides to retain the employee in service, shall report the circumstances to the Railway Board for information. As the Railway Co-operative Credit Society is often a creditor in such a case and other railway servants are sureties for the debtor, the said authority will, in deciding whether or not the debtor should be retained in railway service, consider the effect of his dismissal or removal on the railway and on his fellow employees.

(ii) A railway servant who seeks the assistance of the Insolvency Court without the previous permission of the competent authority shall render himself liable to removal from service.

(iii) A railway servant who is arrested for debt is liable for dismissal.

(iv) Steps will be taken from time to time by the head of an office to ascertain from pay-sheets, etc., whether any railway servant under him are in habitual state of indebtedness. If a moiety of the pay of a railway servant is being frequently attached for debt, has been continuously so attached for a period exceeding two years or is attached for a sum, which under ordinary circumstances he could not repay within two years, such railway servant shall be considered liable for dismissal.

(v) Every case falling under (iii) or (iv) shall be considered in the light of the instructions contained in clause(i) above before it is finally decided whether or not the railway servant concerned should be dismissed or removed but in exceptional circumstances such railway servant should not be retained in service.

(3) A railway servant shall also report to the Government or to such authorities as may be specified in this behalf the facts when a portion of his salary is constantly being attached, has been continuously attached for a period exceeding two years or is attached for a sum which, in ordinary circumstances, cannot be paid within a period of two years.

(4)When a moiety of a railway servant's salary is attached, the report by his superior officer to the Government competent authority should show what is the proportion of the debts to the salary how far they detract from the debtor's efficiency as a railway servant; whether the debtor's position is irretrievable; and whether in the circumstances of the case, it is desirable to retain in the post occupied by him when the matter was brought to notice, or in any post under the Government.

18. Movable, Immovable and Valuable Property.-

(1)(i) Every railway shall on his first appointment to the railway service submit a return of his assets and liabilities, in such form as may be prescribed by the government, giving full particulars regarding-

(a) 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. ;

(b) the shares, debentures and cash including bank deposits inherited by him or similarly owned, acquired or held by him;

(c) Other movable property inherited by him or similarly owned, acquired or held by him ;

(d)debts and other liabilities incurred by him directly or indirectly.

Note 1- Sub-rule(1) shall not ordinarily apply to Group 'D' railway servants, but the Government may, in appropriate cases, direct that it shall apply to any of such railway servants or any class of such railway servants.

Note 2- In every return, the values of items of movable property worth less Rs.10,000.00 may be added and shown as a lumpsum. The values of articles of

daily use such as clothes, utensils, crockery, books and the like, need not be included in such return.

Note 3(i).- Where a railway servant already belonging to a service or holding a post is appointed to any other Government or Railway service or post, he shall not be required to submit a fresh return under this clause.

(ii) Every railway servant belonging to any service or holding any post included in Group A or Group B shall submit an annual return in such form as may be prescribed by the Government in this regard 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) No railway servant shall, except with the previous knowledge of the Government acquire or dispose of any immovable property by lease, mortgage, purchase, sale, gift or otherwise either in his own name or in the name of any member of his family.

Provided that the previous sanction of the Government, shall be obtained by the railway servant if any such transaction is with a person having official dealings with the railway servant .

(3) In the Railway Services (Conduct) Rules, 1966, in rule 18:- 1. For sub-rule (3), the following shall be substituted, namely:-
"(3) Where a railway servant enters into a transaction in respect of movable property either in his own name or in the name of a member of his family, he shall, within one month from the date of such transaction, report the same to the Government, if the value of such property exceeds two months'basic pay of the Railway servant:
Provided that the previous sanction of the Government shall be obtained by the Railway seruant if any such transaction iswith a person having official dealings with him."

Authority - Railway Board's letter No.E(D&A) 2011 GS1-3 dated 11.7.2011)

Provided that the previous sanction of the Government shall be obtained if any such transaction is with a person having official dealing with the railway servant.

Note 1- Purchases of items of movable property for giving presents at the time of marriage will be regulated by rule 18(3) above like any other transaction in movable property (Railway Board's letter no. E(D&A) 65GS 1-12, dt.23-04-66).

Note 2- The powers of the Government so far as sub-rule(3) is concerned, may be exercised by-

(i) The General Managers and the Chairman, Railway Rates Tribunal, in respect of both gazetted and non-gazetted officers under their respective administrative control; and

(ii) Senior Deputy General Managers on Zonal Railways in respect of gazetted officers below the Senior Administrative Grade and non-gazetted officers, subject to the condition that the powers hereby delegated are not further delegated by them to lower authorities so far as cases of gazetted officers are concerned.

(4) The Government or any authority empowered by it in this behalf may, at any time by general or special order, require a railway servant to furnish, within a period specified in the order, a full and complete statement of such movable or immovable property held or acquired by him or on his behalf or by any member of his family as may be specified in the order. Such statement shall, if so required by the authority so empowered, include the details of the means by which, or the source from which, such property was acquired .

(5) The Government may exempt any category of railway servants belonging to Group 'C' or Group 'D' from any of the provisions of this rule except sub-rule(4) No such exemption shall, however, be made without the concurrence of the Railway Board who will consult the Ministry of Home Affairs (now Cabinet Secretariat Department of Personnel).

Explanation I.- For the purposes of this rule, the expression 'movable property' includes – (sub-rule (5), for clause (a) of Explanation I,)the following shall be substituted, namely:-

"(a) jewellery, insurance policies the annual premium of which exceeds six months' basic pay of the railway servant, shares, securities and debentures; mutual funds.

(b) All loans, whether secured or not, advanced or taken by the government servant.

(c) motor cars, motor cycles, horses, or any other means of conveyance; and

(d) refrigerators, radios, radiograms and television sets.

Authority - Railway Board's letter No.E(D&A) 2011 GS1-3 dated 11.7.2011)

Explanation II.- For the purposes of this rule, "lease" means, except where it is obtained from, or granted to, a person having official dealings with the railway servant a lease of immovable property from year to year or for any term exceeding one year or reserving a yearly rent.

Railway Ministry's decision 1.- It is undesirable for Railway servants to bid at auctions arranged by their own department or under orders of which the auction is conducted and if does so it would be regarded as indulging in conduct unbecoming of a Railway servant under the rules.
(E(D&A)58 GS 1-6 dt. 15-03-58 & 27-06-66)

Railway Ministry's decision 2.- The intention of proviso to sub-rule (2) & (3) regarding bonafide deal is to assure that-

(i) the transaction proposed to be entered into is for bonafide purposes;

(ii) the acquisition/sale of property in question is at fair prevailing market prices and does not involve any element or profiteering or speculation;

(iii) there is no reasonable ground to hold that the transaction in question is the result of the exercise of any undue official influence by the officer i.e. in return of any official favors conferred or likely to be conferred upon the prospective seller/buyer of the property ; and

(iv) there is nothing otherwise objectionable in return to the proposed transaction.
(E(D&A) 60 GS-1-5 dt. 07-06-70)

Railway Ministry's decision 3.- The term "Regular and reputed dealer" means a person or firm who deals in a particular item and keeps regular accounts of lists, its transactions and who has regular business premises. A co-operative housing society registered under the Co-operative society's Act, 1912 or any corresponding law in force also falls under this definition.(E(D&A) 60 GS-1-5 dt. 30-01-61)

Railway Ministry's decision 4.- Whenever a Railway servant wishes to build a house, the following procedure should be followed :-

(a) Before starting construction of the house, he should report or seek permission as the case may be and after completion of the house, he should report to the prescribed authority.

(b) The details in proforma prescribed should be furnished wherever it is possible to do so. Wherever it is not possible to movable property acquired for the construction of the house, the railway servant concerned should mention the covered area on which the building is proposed to be erected and the estimated cost of building.

(c) In case where the expenditure to be incurred on repairs or minor construction work in respect of any immovable property belonging to a Railway servant, is estimated to exceed Rs.1000/- sanction of the prescribed authority is required.

Railway Ministry's decision 5.- The factum of giving or receiving money between father and son can be termed as a transaction of movable property within the meaning of Rule 18(3).

(E(D&A) 64 GS-1-6 dt. 25-02-65)

Railway Ministry's decision 6.- In exercise of the powers conferred by Rule 24 read with Rule 2(a)(ii) of these rules, the Rly.Board hereby directs as follows:

(i) Powers exercised by the Railway Board under rule 18(2) of the above rules shall be also exercisable by the General Managers, all Indian Railways, Production Units and the Director General, RDSO in respect of Gazetted officer under their

respective administrative control subject to the condition that all cases of such sanction accorded by them shall be reported to the Railway Board, and

(ii) Powers exercisable by the Railway Board under rule 18(3) of these rules shall be also exercisable by Director General, RDSO in respect of gazetted officers under his administrative control.
(E(D&A) 69GS 1-11 dt. 14-08-69)

Railway Ministry's decision 7.- Railway servants should not buy or sell property to or from a firm with whom he has official dealings. In exceptional cases, however, permission may be granted only after careful enquiry into the officer's dealing with the firm and after it is satisfactory established that he was not conferred and is not likely to confer any official favour upon the party concerned.
(E(D&A)75 GS-136 dt. 13-12-76.)

Railway Ministry's decision 8.- While no permission of the Government is necessary for taking Life Insurance Policy or making fixed deposit in Banks under Sub-rule (3) above, permission is required to be obtained to join a Chit Fund.(E(D&A) 76 GSI-36 dt. 13-12-76.)

Railway Ministry's decision 9.- The provision of Delhi Rent Control Act and similar other provisions in other States, wherever applicable, should be observed by Railway servants while taking rent advance for property held by them.(E(D&A) 76 GS1-2 dt. 30-04-76)

Railway Ministry's decision 10.- It is clarified that transactions entered into by the spouse or any other member of family of a railway servant out of his or her own funds (including stridhan, gift, inheritance etc. as distinct from the funds of the railway servant himself in his or her own name and in his or her own right would not attract the provision of Sub-rule(2) and (3) of Rule 18.
alok tells: - Rule 18 amended by Railway Board's letter No. E(D&A)/86/GS1-6 dated 16-07-86.

Rule 18 further amended vide Railway Board's letter No. No.E(D&A)87GS1-12dt. 30- 10-87 i.e. ACS-01/R-I.

further amended by E(D&A)88GS1-12 dated 02-08-88 i.e. ACS-07/R-I.

further amended by E(D&A)91GS1-14 dated 06-07-93 i.e. ACS-29/R-I.

further amended by Railway Board's letter No. E(D&A) 96 GS 1-8 dated 17-01-97 i.e. ACS-51/R-I.(ACS renumbered from 40)

Railway Board's important letters on rule 18.

No. E(D&A)94 GS1-5 dt. 16-09-1994

Sub: Submission of annual returns of immovable property under Rule 18 by Group 'A' & 'B' Officers.
(alok tells: -
this letter circulates Department of Personnel's O.M. No. 11013/12/93-Estt(A) dated 24-01-94 on the above subject stressing the requirement to submit the annual

property returns in time. This letter t also re-circulates Railway Board' letter No. E.56GS1-2 dated 16-04-1956)

No. E(D&A)91 GS1-1 dt. 15-01-1991

Sub: Rule 18 of the Railway Services (conduct) Rules 1966-provision regarding expenditure incurred on repairs or minor constructions in respect of immovable property.

A copy of the Department of Personnel's O.M. No. 11013/9/89-Ests. (A) dated 27.11.90 on the above subject is enclosed herewith for information and guidance. The provision mentioned in para-2 thereof has been incorporated as item(c) to Decision No. 4 under Rule 18 of the Railway Services (Conduct) Rules (Appendix I to Estt. Code Volume I-1985 Edition. Attention in this connection is also invited to item(ii) of Boards letter no. E(D&A)57 GS1-21 Pt dated 4.3.58. Please acknowledge receipt.

Sub: Rule 18 of the CCS(Conduct) Rules, 1964 provision regarding expenditure incurred on repairs or minor construction work in respect of movable property.

The undersigned is directed to say that according to the existing provisions of Rule 18 of the CCS(Conduct)Rules, 1964, prior permission of the prescribed authority is required for transaction in immovable property with a person, who is having official dealings with the Government Servant concerned. In other cases, only a prior intimation is to be given.

2. The instructions contained in this Departments O.M.No. 25/21/57-Estt(A) dt. 18.12.1957 provide, inter-alia, that where the expenditure incurred on repairs or minor constructions work in respect of any immovable property belonging to a Government servant is estimated to exceed Rs. 1,000/- sanction of the prescribed authority is necessary. The provisions have been reviewed in the light of amendments to Rule 18 of CCS (Conduct)Rules, 1964 carried out from time to time and it has been decided that in respect of the expenditure incurred on repairs and minor additions to an immovable property by a Government Servant, an intimation shall be necessary to be given to the prescribed authority only if the estimate exceeds Rs 10,000/-. However, prior sanction of the prescribed authority should be obtained in all cases regardless of amount involved, where the transaction regarding the material purchased or contract for such repairs or minor constructions, is with a person with whom the Government servant concerned has official dealings.

This has been concurrence of C & AG so far as employees of IAAD are concerned.

Min. of Agriculture etc. may please bring the above instructions to the notice of all administrative authorities under them.

No. E(D&A)88 GS1-5 dt. 10-08-1988

Sub: Railway services(Conduct)Rules 1966-Redelegation of powers of Railway Board and definition of the term "Small amount" used in Rule 16(4)

In exercise of the powers conferred by Rule 24 read with Rules 2(a)(ii) of the Railway Services(Conduct) Rules 1966, the Railway Board hereby directs as follows:

(1)Powers exercised by the Railway board under sub-rules (3),(4) and (5) of Rule 13 shall also be exercisable by G.M.s of all Indian Rlys./Production Units, Director General /RDSO and the Chief Administrative Officers in respect of Gazetted Officers under their control. The report of gifts and application for permission to accept gifts must contain full particulars of the persons giving the gifts including their permanent income tax number, where monetary gift is involved, full details of the cheque/Bank draft, if any through which the gift is made should be given.

(2)The powers exercised by Railway board under 16(4) relating to sanction for lending/borrowing to or from a person/company having official dealing with the Officer concerned, or lending to any person at interest etc. shall also be exercisable by General Managers of Indian Railways/Production Units, Director General (RDSO) and Chief administrative Officers in respect of Gazetted officers under their control. Such powers of the Railway Board shall also be exercisable by Addl. GMs /Sr.D.G.Ms on Zonal Railways in respect of Gazetted Officers below the S.A. Grade.

2. Under Rule 18(2) of the Conduct Rules, transactions in immovable property can be made only with previous knowledge of the Government and previous sanction of the government has to be obtained if such transaction is with a person having dealings with the Railway servant concerned. Government for this purpose , is the Railway Board in the case of Group 'A' and 'B' Officers. However, the powers of the Railway Board in this regard have been delegated to G.M.s subject to the condition that in all such cases of reporting of transactions/sanctions to transactions relevant details shall be sent to the Railway Board. Such details should continue to be sent to Railway Board's office.
(rest not relevant to this rule)

No. E(D&A)78 GS1-14 dt. 05-03-1987

Sub: Submission of property returns in terms of Rule 18 of the Railway Services (Conduct) Rules, 1966.

Reference: Board's letter of even number dated 17th June,1986 on the above subject.

Despite the letter being clear enough about the nature of proforma to be used for property returns, doubts are still being voiced. The position is, therefore, again set out below for information and guidance:

A. Annual return of immovable of immovable property under Clause(ii) of sub-rule (1) of Rule 18.

The form prescribed vide Railway Board's letter No. E56GS1-2 dated 16-04-1956 should be used for this purpose.

B.For submission of return of all assets and liabilities at the time of initial appointment and also for getting special returns of all movable/immovable property etc. under Sub-rule 4 of Rule 18.

For this purpose, the detailed Forms No. I to V , enclosed with letter dated 17-06-1986 should be utilised.

The other single page proforma containing 5 columns enclosed with Board's letter dated 17-06-1986 is for furnishing statistical information regarding Group 'A' and Group 'B' officers who did not submit their annual returns under Clause(ii) of sub-rule (1) of Rule 18 within the prescribed date, number of officers who submitted incorrect information in the annual return and action taken against the defaulters in this respect.

Please acknowledge receipt.

No. E(D&A)85 GS1-13 dt. 10-02-1986

Sub: Rule 18 of Railway Services(Conduct) Rules, 1966-Transaction in property by Group 'C' staff involved in direct financial dealing with the public.

In terms of para 3 of Bd's letter No. E(D&A)-78 GS1 14 dated 24.10.80. A Railway servant working in a Gorup C supervisory post, the maximum of scale of pay of which is Rs. 900 or above, is required to submit annual returns regarding the immovaable property inherited by him or owned or acquired by him, or held by him on lease or mortgage, either in his own name of in the name of any member of his family or in the name of any other person.

2. The board have considered the matter further, and have decided that the following categories of Commercial staff in all grades, viz. Reservation Clerks, Parcel Clerks, Booking Clerks and TTEs and TCs, should besides submitting a property return on their initial appointment as required in Rule 18(i) of the Conduct Rules, should also submit a return of their property at the time of every promotion, as also at the time of submitting documentation for pension (apporoximately two years prior to superannuation).

3. The property return file should remain in the custody of the Heads of Department who maintain their confidential report file. The returns should be scrutinised by the Vigilance Department of the Railways.

4. The above instructions should be brought to the notice of all concerned for guidance and strict compliance

No. E(D&A)85 GS1-13 dt. 08-10-1986

Sub: Railway services (Conduct) Rules, 1966- Transactions of property coming within the purview of Rule 18(2)&18(3)-Forms for obtaining permission and/or giving intimation.

A copy of the Department of Personnel & Training's O.M. No. 11013/11/85-Estt(A) dated 23.6.86 is enclosed for guidance and necessary action. All cases of granting permission or noting the intimation received under Rule 18(2) and Rule 18(3) may henceforth be dealt with after obtaining information in the revised format.

2. The application for obtaining sanction or making prior intimation regarding construction of a house will continue to be made in the forms circulated vide Board's letter No. E(D&A)76 GS1-2 dated 30.4.76.

Copy of Office Memorandum No. 11013/11/85-Estt(A) dated 23.6.86 of Ministry of Personnel, Public Grievances and Pensions (Deptt. of Personnel & Training), New Delhi.

Sub: CCS (Conduct)Rules, 1964-Transaction of Property coming within the purview of Rule 18(2)&(3)-Forms for obtaining permission/giving intimation.

The undersigned is directed to say that in accordance with the provisions of sub-rule (2) of Rule 18 of the CCS(Conduct) Rules, 1964 all Government servants coming within the purview of these Rules are required to make a report to the prescribed authority before entering into any transaction of immovable property in their own name or in the name of a member of family. If the transaction is with a person having any official dealings with the Government servant, the Government servant is required to obtain prior sanction of the prescribed authority. Sub-rule (3), ibid provides that all Government servants should give an intimation to the prescribed authority within one month of entering into any transaction of movable property, the value of which exceeds the monetary limits prescribed in that Rule. In case any such transaction is with a person having official dealing with the Government servant, prior sanction of the prescribed authority is necessary.

2. The question of streamlining the procedure for obtaining prior sanction or making a report about the transaction of property by Government servants has been considered and it has been decided that all requests for obtaining prior sanction and making intimation about transactions in immovable and movable property may be made in the enclosed standard Forms I and II, respectively, devised for this purpose. These forms contain the basic information required by the prescribed authority in all cases for considering a request for grant of permission or taking note of an intimation given by the Government servant. The prescribed authority concerned, if it so desired, may seek any additional information/clarification about the transaction entered into by the Government servant, depending upon the facts and circumstances of the case.

3. The applications for obtaining sanction or making prior intimation regarding construction of a house will continue to be made in the form prescribed vide this Department's O.M. No. 11013/5/75-Estt(A), dated 20th June, 1975.

4. Ministry of Agriculture and Cooperation etc. are requested to circulate these forms among all the authorities under their control, who are required to deal with the requests for grant of permission and receive intimations about transaction of property.

FORM - I

Form for giving prior intimation or seeking previous sanction under Rule 18(2) of the CCS(Conduct) Rules, 1964 for transaction in respect of immovable property.

1. Name and Designation.
2. Scale of Pay and present pay.
3. Purpose of application-sanction for transaction/prior intimation of transaction.
4. Whether property is being acquired or disposed of.
5. Probable date of acquisition/disposal of property.
6. Mode of acquisition/disposal.

7. (a) Full details about location, viz. Municipal No., Street/village, Taluk, District and State in which situated.
(b) Description of the property, in the case of cultivable land, dry or irrigated land.
(c) Whether freehold or leasehold.
(d) Whether the applicant's interest in the property is in full or part. (in case of partial interest, the extent of such interest must be indicated).
(e) In case the transaction is not exclusively in the name of the Government servant, particulars of ownership and share of each member.

8. Sale/purchase price of the property. (Market value in the case of gifts.)

9. In cases of acquisition, source or sources from which financial/proposed to be financed.
(a) Personal savings.
(a) Other sources giving details.

10. In case of disposal of property, was requisite sanction / intimation obtained/given for its acquisition (A copy of the sanction/acknowledgement should be attached).

11. (a) Name and address of the party with whom transaction is proposed to be made.
(b) Is the party related to the applicant? If so, state the relationship?
(c) Did the applicant have any dealings with the party in his official capacity at any time, or is the applicant likely to have any dealings with him in the near future.
(d) How was the transaction arranged? (Whether through

any statutory body or a private agency through advertisement or through friends and relatives. Full particulars to be given).

12. In case of acquisition by gift, whether sanction is also required under Rule 13 of the CCS(Conduct) Rules, 1964.
13. Any other relevant fact, which the applicant may like to mention.

DECLARATION

I, ... hereby declare that the particulars given above are true. I request that I may be given permission to acquire/dispose of property as described above from/to the party whose name is required in item 11 above.

OR

I ..... hereby intimate the proposed acquisition/disposal of property by me as detailed above. I declare that the particulars given above are true.

Station: Signature :
Date : Designation:

Note: 1. In the above form, different portions may be used according to requirement.

2. Where previous sanction is asked for, the application should be submitted at least 30 days before the proposed date of the transaction.

FORM - II

Form for giving intimation or seeking previous sanction under Rule 18(3) of the CCS(Conduct) Rules,1964 for transaction in respect of movable property:-

1. Name of the Government Servant.
2. Scale of pay and present pay.
3. Purpose of application-sanction for transaction/ intimation of transaction.
4. Whether property is being acquired or disposed of.

5. (a) Probable date of acquisition or disposal of property.
   (b) If the property is already acquired/disposed of- Actual date of transaction.

6. (a) Description of the property (e.g.Car/Scooter/ Motor cycle/Refrigerator/radio/radiogram/jewellery/ loans/insurance policies etc.)
   (b) Make, model (and also registration No. in case of vehicles), where necessary.

7. Mode of acquisition/disposal(Purchase/sale, gift, mortgage, lease or otherwise).
8. Sale/Purchase price of the property(Market value in the case of gifts).

9. In case of acquisition, source or sources from which financed/proposed to be financed :
(a) Personal savings.
(b) Other sources giving details.

10. In the case of disposal of property, was requisite sanction/intimation obtained/given for its acquisition (A copy of the sanction/acknowledgement should be attached).

11. (a) Name and address of the party with whom transaction is proposed to be made/has been made.
(b) Is the party related to the applicant? If so, state the relationship.
(c) Did the applicant have any dealings with the party in his official capacity at any time, or is the applicant likely to have any dealings with him in the near future?

Station: Signature :
Date : Designation:

No. E(D&A)85 GS1-3 dt. 07-04-1986

Sub: Railway Services (Conduct) Rules,1966-Clarifications regarding investment in Fixed Deposits, N.S.C, U.T.I.s etc.

Attention is invited to Board's letter No. E(D&A)76 GS1- 35 dated 13.12.76 regarding investment in Fixed Deposit etc. A copy of the D.O. P&T's O.M. No. 11013/5/81-Estt(A) dated 12.5.82, clarifying the position further,is circulated herewith for information and guidance. Clarification contained in para 4 of the Board's ibid may therefore be treated as modified accordingly.

2. It is also pointed out that investment in National Savings Certificates, Units of the Unit Trust of India also attract the provision of Rule 18(3) in as much as such certificates and units are also "securities " within the meaning of Explanation 1(a) to Rule 18. The above clarifications may be brought to the notice of all concerned.

No. E(D&A)85 GS1-4 dt. 12-12-1985

Under Railway Board’s letter No. E(D&A) 79GS1-5 dated 15-06-1979 clarifications in regard to sub-rules 2&3 of Rule 18 of the Conduct Rules were Communicated. As per these clarifications, transactions entered into by the spouse or any other member of the family of a Railway Servant out of his or her own

funds(including Stridhan, Gifts, inheritance etc.), as distinct from the funds of the railway servant itself, in his or her own right, would not attract the provisions of sub-rules (2)&(3) of Rule 18 of the conduct rules.

2. With reference to the aforesaid clarifications, an apprehension has been expressed that a railway servant could irregularly acquire immovable/movable property with money received from 'dubious sources' but may not intimate such transactions to the Government on the plea that the property was his wife's property in which his funds have not been used.

3. It is not possible to place an obligation on the railway servants to inform or seek permission for transactions entered into by the spouse or other members of the family in their own right and from their own funds. This is because sub-rules(2) & (3) of Rule 18 of the Conduct Rules are applicable only to transactions made by Railway Servant in their own name, etc. and not to those made by their spouse/family members exclusively in their own right, from their own funds and it will , therefore, mean going beyond the scope of the statutory rule if an obligation as aforesaid were to be placed. It is , however, pointed out that if any case comes to notice where there are grounds to suspect that the railway servant has illegally channelised his own funds for a transaction in the name of some other person it is always open to the Competent Authority to call for such explanation and to make such investigations as may be necessary to establish the facts regarding the resources used for raising the funds.

No. E(D&A)85GS1-9 dt. 08-08-1985

The Government in exercise of the powers conferred by Rule 24 of the Railway Services(Conduct) Rules, 1966, hereby directs that the powers exercisable by it under sub-rule(4) of Rule 18 of the said rules, shall be exercised also by the General Manager of the Zonal Railways, Production Units and DG(RDSO) in respect of the gazetted officer upto and including JA Grade level.

18. Movable, immovable and valuable property (1) (i) Every railway servant shall on his first appointment to the railway service submit return of his assets and liabilities, in such form as may be prescribed by the Government, giving full particulars regarding-

(a) the immovable property inherited by him, 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.

(b) the shares, debentures and cash including bank deposits inherited by him or similarly owned, acquired, or held by him.

(c) other movable property inherited by him or similarly owned, acquired by him.

(d)debts and other liabilities incurred by him directly or indirectly.

Note : 1- Sub-rule (1) shall not ordinarily apply to Group "D" railway servants, but the Government may, in appropriate cases, direct that it shall apply to any of such railway servants or any class of such railway servants.

Note 2 : - In every return, the values of items of movable property worth less than Rs. 10,000 may be added and values of articles of daily use such as clothing, utensils, crockery, books and the like, need not be included in

Note –3 (i) where a railway servant already belonging to services or holding a Post is appointed to any other service or post, he shall not be required to submit a fresh return under this clause.

(ii) Every railways servant belonging to any service or holding any post included in Group A or Group B shall submit an annual return in such form as may be prescribed by the Government in this regard giving full particulars regarding the immovable property the inherited by him or owned or acquired by him on held y 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) No railway servant shall, except with the previous knowledge of the Government acquire or dispose of any immovable property by lease, mortgage, purchase, sale, gift or otherwise either in his own name or in the name of any member of his family.

Provided that the previous sanction of the Government shall be obtained by the Railway servant any such transaction is with a person having official dealing with him.

(3) Where a railway servant enters into a transaction in respect of movable property either in his own name or in the name of a member of his family, he shall, within one month from the date of such transaction, report the same to the Government, if the value of such property exceeds twenty thousand rupees in the case of a railway servant holding any Group A or B post or a Temporary Gazetted Officer or fifteen thousand rupees in the case of a railway servant holding any Group C or Group D post:

(Authority : Railway Board's letter NO. E(D&A)2004/GS1-2 datd 15/03/.2004)

Provided that the previous sanction if the Government shall be obtained by the Railway servant if any such transaction is with a person having official dealings with him.

Note –1 Purchase of item of movable property for giving presents at the time of marriage will be regulated by rule 18(3) above like any other transactions in movable property (Railway Board's letter NO. E(D&A)65 GSI-12 dated 23-4-1966)

Note –2 – The powers of the Government so far as sub-rule (3) is concerned may be exercised by Schedule in a Court of Law. Same time, he shall explain in such form as the Government may prescribe in this behalf all the circumstances, which led to his financial embarrassment. The said authority will then consider his case in the light of those circumstances,

If the railway servant can prove that the indebtedness was the result of circumstances, which, with the exercise of ordinary diligence, he could not have foreseen or over which he had no control, and did not proceed from extravagant or dissipated habits and if as the result of investigation, the said authority considers that sufficient justification exists for the retention of the employee in service, he may permit him to have recourse to the court. Otherwise he should take steps either to dismiss or remove the employee from service as the circumstances of the case may warrant. If a railway servant asks for permission to seek the benefit of the Insolvency Act for second time such permission may not beg ranted by an authority lower than the General Manager or Head of Office who, if he decides to retain the employee in service, shall report the circumstances to the Railway Board for information. As the Railway Co-operative Credit is often the creditor in such a case and other railway servants are sureties for the debtor, the said authority will, in deciding whether or not the debtor should be retained in railway service, consider the effect of this dismissal or removal on the railway and on his fellow employees

1. No. E(D&A) 58 GSI-6 dt. 15.3.58 and 27.6.66
2. No. E(D&A)60 GSI-5 dt. 7.6.60
3. No. E(D&A)60 GSI -5dt. 30.1.61
4. No.E(D&A)64 GSI –6 dt.25.2.65
5. No.E(D&A)69 GSI –14 dt.14.8.69
6. No.E(D&A)75 GSI –3 dt.9.3.75
7. No.E(D&A)76 GSI –2dt.30.4.76

(ii) A railway servant who seeks the assistance of the Insolvency Court without the previous permission of the competent authority shall render himself liable to removal from service.

(iii) A railway servant who is arrested for debt is liable for dismissal.

(iv) Steps will be taken from time to time by the head of an office to ascertain from pay sheets, etc. whether any railway servant under him are in habitual state of indebtedness. If a moiety of the pay of a railway servant is being frequently attached for debit has been continuously so attached for a period exceeding two years or is attached for a sum which under ordinary circumstances he could not repay within two years, such railway servant shall be considered liable for dismissal.

(v) Every case falling under (iii) or (iv) shall be considered in the light of the instructions contained in clause (i) above before it is finally

(3) A railway servant shall also report to the Government or to such authorities as may be specified in this behalf the facts when a portion of his salary is constantly being attached, has been continuously attached for a period exceeding two years or is attached for a sum which, in ordinary circumstances, cannot be paid within a period of two years.

(4) When a moiety of a railway servant's salary is attached, the report by his superior officer to the Government competent authority should show what is the proportion of the debts to the salary; how far they detract from the debtor's efficiency as a railway

servant; whether the debtor's position is irretrievable; and whether in the circumstances of the case, it is desirable to retain him in the post occupied by him when the matter was brought to notice; or in any post under the Government.

(i) General Manager and the Chairman, Railway Rates Tribunal, in respect of both gazzeted and non-gazetted officers under their respective administrative control; and

(ii) Senior Deputy General Managers on Zonal Railways in respect of gazetted officers below the Senior Administrative Grade and non-gazetted officer subject to the condition that the powers hereby delegated are not further delegated by them to lower authorities so far as cases of gazetted officer are concerned.

(4) The Government or any authority empowered by it in this behalf may, at any time by general or special order, required a railway servant to furnish within a period specified in the order, a full and complete statement of such movable or immovable property held or acquired by him or on his behalf or by any member of his family as may be specified in the order. Such statement shall, if so required by the Government or by the authority so empowered, include the details of the means by which, or the source from which, such property was acquired.

(5) The Government may exempt any category of railway servants belonging to Group "C" or Group "D" from any of the provisions of this rule except sub-rule (4) No such exemption shall, however, be made without the concurrence of the Railway Board, who will consult the Ministry of Home Affairs (Now Cabinet Secretariat, Department of personnel.)

Explanation I – For the purpose of this rule, the expression 'movable property' includes-

(a) Jewellery, insurance policies the annual premum of which exceeds Rs. 10,000/- or one-sixth of the total annual emoluments received from Government, whichever is less, shares securities and debentures.
(b) A;; loans whether secured or not , advanced or taken by the Government servant.
(c) Motor cars, motor cycles, horses, or any other means of conveyance; and
(d) Refrigerators, radices, radiograms and television sets.

Explanation II – For the purposes of this rule "lease" means, except where it is obtained from, or granted to, a person having official dealings with the railway servant, a case of immovable property from year to year or for any term exceeding one year or reserving a yearly rent.

Railway Ministry's decision –1 – It is undesirable for Railway servants to bid at auctions arranged by their own department or under orders of which the auction is conducted and if he does so it would be regarded as including in conduct unbecoming of a railway servant under the rules.

(E (D&A)58 GS-1-6 dt. 15.3.58 & 27.6.66)

Railway Ministry's decision 2 - The intention of proviso to sub-rule (2) & (3) regarding bonafide deal is to assure that –

(i) the transaction proposed to be entered into is for bonafide purpose s,
(ii) the acquisition/sale of property in question is at fair prevailing market prices and does not involve any element or profiteering or speculation;
(iii) there is no reasonable ground to hold that the transaction in question is the result of the exercise of any undue official influence by the officer e.g. in return of any official favours conferred or likely to be conferred upon the prospective seller/buyer of the property; and
(iv) there is nothing otherwise objectionable in return to the proposed transaction.

(E (D&A)60 GS-1-5 dt. 7.6.60)

Railway Ministry's decision 3. The term" Regular and reputed dealer" means a person or firm who deals in a particular item and keeps regular accounts of lists, its transaction and who has regular business premises. A co-operative housing society registered under the Co-operative Society's Act, 1912 or any corresponding law in force also falls under this definition.

(E(D&A)60 GS-1-5 dt. 30.1.61

Railway Ministry's decision 4 – Whenever a Railway servant wishes to build a house, the following procedure should be followed;-

(a) Before starting construction of the house, he should report or seek permission as the case may be and after completion of the house he should report to the prescribed authority.

(b) The details in proforma prescribed should be furnished wherever it is possible to do so. Wherever it is not possible to furnish the details about purchase of movable property acquired for the construction of the house, the Railway servant concerned should mention the covered area on which the building is proposed to be erected and the estimated cost of the building.

(c) In case where the expenditure to be incurred on repairs or minor construction work in respect of any immovable property belonging to a Railway servant, is estimated to exceed Rs. 1,000/- sanction of the prescribed authority is required.

Railway Ministry's decision 5 – The factum of giving or receiving money between father and son can be termed as a transaction of movable property within the meaning of Rule 18(3).

(E(D&A)64 GS-1-6 dt. 25.2.65(

Railway Ministry's decision 6 – In exercise of the power conferred by rule 24 read with Rule 2 (a)(ii) of these rules, the Railway Board hereby directs as follows:

(i) Powers exercised by the Railway Board under rule 18(2) of the above rules shall be also exercisable by the General Managers, all Indian Railways, Production Units and the Director General, RDSO in respect of gazetted Officers under their respective administrative control subject to the condition that all cases of such sanction accorded by them shall be reported to the Railway Board, and

(II)Powers exercisable by the Railway Board under rule 18(3) of these rules shall be also exercisable by Director General, RDSO in respect of gazetted officers under this administrative control.

(E(D&A)69 GS-1-11 dt. 14.8.69).

Railway Ministry's decision 7 – Railway servants should not buy or sell property to or from a firm with who he has official dealings. In exceptional cases, however, permission may be granted only after careful enquiry into the officer's dealing with the firm and after it is satisfactorily established that he was not conferred and is not likely to confer any official favour upon the party concerned.

(E (D&A)69 GS-1-36 dt. 13.12.76).

Railway Ministry's decision –8 – While no permission of the Government is necessary for taking Life insurance Policy or making fixed deposits in Banks under sub-rule (3) above, permission is required to be obtained to join a Chit Fund.

Railway Ministry's decision –9 - The provision of Delhi Rent Control Act and similar other provisions in other State, wherever applicable, should be observed by Railway servants while taking rent advance for property held by them.

(E(D&A)69 GS-1-2 dt. 30.4.76)

Railway Ministry's decision 10 – It is clarified that transaction entered into by the spouses or any other member of family of a railway servant out of his or her own fund (including stridhan, gifts, inheritance etc.) as distinct from the funds of the railway servant himself in his or her own name and in his or her own right, would not attract the provision of sub-rule (2) and (3) of Rule 18.

18-A. Restriction in relation to acquisition and disposal of immovable property outside India and transaction with foreigners, etc.-

Notwithstanding anything contained in sub-rule(2) of rule 18, no railway servant shall except with the previous sanction of the Government-

(a) Acquire, by purchase, mortgage, lease, gift or otherwise, either in his own name or in the name of any member of his family, any immovable property situated outside India;

(b) dispose of, by sale, mortgage, gift or otherwise, or grant any lease in respect of any immovable property situated outside India which was acquired or is held by him either in his own name or in the name of any member of his family ;

(c) enter into any transaction with any foreigner, foreign Government, foreign organization or concern-

(i) for the acquisition, by purchase, mortgage, lease, gift or otherwise either in his own name or in the name of member of his family, of any immovable property.

(ii) for the disposal of, by sale, mortgage, gift or otherwise, or the grant of any lease in respect of, any immovable property which was acquired or is held by him either in his own name or in the name of any member of his family.

19. Vindication of Acts and Character of Railway Servants.-

(1) No Railway servant shall, except with the previous sanction of the Government, have recourse to any court or to the press for the vindication of any official act which has been subject matter of adverse criticism or an attack of a defamatory character.

Provided that if no such sanction is received by the Railway Servant within a period of three months from the date of receipt of his request by the Government, he shall be free to assume that the permission sought for has been granted to him.

alok tells: -Proviso has been inserted vide Railway Board's letter No. No.E(D&A)96GS1-5 dt. 24-12-96*& 13.01.98 i.e. ACS-46/R-I.*

(2) Nothing in this rule shall be deemed to prohibit a railway servant from vindicating his private character and or any act done by him in his private capacity and where any action for vindicating his private character or any act done by him in his private capacity is taken, the railway servant shall submit a report to the government regarding such action

Railway Ministry's decision 1- Railway servants seeking redress of their of their grievances arising out of their employment or conditions of service should in their own interest and also consistently with official propriety and discipline first exhaust the normal official channels of redress before they take the issue to a court of law. Any attempt by Railway servants to seek redress from the court of law or such matters (even in cases where such a remedy is legally admissible) without first exhausting the normal official channels of redress can only be regarded as contrary to official propriety and subversive of good discipline and may well justify the initiation of disciplinary action against them.
(E(D&A)62RG6-21dt.05-02-64 & E(D&A)69RG6-37 dt.14-02-67)

19. Vindication of Acts and Character of Railway servants – (1) No railway servant shall,. Except with the previous sanction of the Government , have recourse to any Court or to the Press for the vindication of any official act which has been subject matter of adverse criticism or an attack of a defamatory character.

Provided that if no such sanction is received by the railway servant within a period of three months from the date of receipt of his request by the Government, he shall be free to assume that the permission as sought for has been granted to him.

(Authority : Railway Board's letter No. E(DS&A) 96 GS1-5 dated 24/12/96)

Nothing in this rule shall be deemed to prohibit a railway servant from vindicating his private character and or any act done by him in his private capacity and where any action for vindicating his private character or any act done by him in his private capacity it taken, the railway servant shall submit a report to the Government regarding such action.

Railway Ministry's decision 1 - Railway servants seeking redress of their grievances arising out of their employment of conditions of service should in their own interest and also consistently with official propriety and discipline first exhaust the normal official channels of redress before they take the issue to a court of law. Any attempt by Railway servants to seek redress from the court of law or such matters (even in cases where such a remedy is legally admissible) without first exhausting the normal official channels of redress can only be regarded as contrary to official propriety and subversive of good discipline and may well justify the initiation od disciplinary action against them.

(E(D&A)62 RG6-21 dt. 5.2.64 & E(D&A)69 RG 6-378 dt. 14.2.67)

20. Canvassing of Non-officials or other Influence.-

No railway servant shall bring or attempt to bring any political or other influence to bear upon any superior authority to further his interests in respect of matters pertaining to his services under the Government.

Railway Ministry's decision- Railway servants are advised to strictly refrain from bringing pressure from the M.P.'s and other influential outsiders to secure benefits out of turn or regarding any matter arising out of their service. If such occasions arise, the name of the officer or the member of the staff concerned will be brought to the notice of the Head of the Department for such disciplinary action as may be considered necessary. (E(D&A) 70RG-6-9 dt 07-07-71)

Railway Board's important letters on rule 20.

No. E(D&A)95GS1-2 dt. 11-06-1998

Sub: Railway Services(conduct)Rules, 1966 Instructions on Rule 20.

Your attention is invited to Board's letter No. E(D&A)85RG6-3 dated 28-05-1985, enclosing a copy of Department of Personnel and Training O.M. No. I-11013/7/85-Estt.(A) dated 22-05-1985, containing instructions on departmental action to be taken against a Railway servant who violates Rule 20 of conduct rules by bringing political or other outside influence to bear upon his superior authority to further his interests in respect of service matters.

The Ministry of Railways would like to reiterate these instructions and request you to ensure that effective action is taken against the Railway servants who bring or attempt to bring outside influence to further their service interests, as prescribed in Board's letter dated 28-05-85 referred to above(copy enclosed)

Copy of letter No. E(D&A) 85 RG 6-3 dated 28-05-85

Sub: Railway service(Conduct) Rules,1966-Instructions with reference to Rule 20.

A copy of Department of Personnel &Training's Office Memorandum No. -11013/7/85-Estt.(A) dt. 22-05-85 is sent herewith. Rule 20 of the CCS(Conduct) Rules,1964 corresponds to Rule 20 of RS(Conduct) Rules,1966. It has been decided that the confidential instructions contained in the aforesaid O.M. should be followed on The Railway Administration.

In this connection, attention is invited to Board's wireless of even number dated 24-01-85 and also to director Establishment's letter of even number dated 25-02-1985(addressed only to Zonal Railways, CLW,DLW,ICF)

Department of Personnel & Training's (Ministry of Personnel and Training's letter No. I-11013/7/85-Estt(A) dated 22-05-85.

Sub:CCS(Conduct) Rules, 1964-Instructions with reference to Rules –20

The undersigned is directed to say that Rule 20 of the CCS(Conduct) Rules ,1964 provides that no Government Servant shall bring or attempt to bring any political or other outside influence to bear upon any superior authority to further his interests in respect of matters pertaining to his service under Government. Attention of Government servants was also drawn to the aforesaid rule provisions through para-8 of the Departments of Personnel & A.R. Office memorandum No. 25/19/64-Estt.(A) dated 8th November, 1974(Extract enclosed) and it was made clear that a Government servant was not expected to approach a Member of Parliament or of a State Legislature for sponsoring his individual case. In spite of the aforesaid rule, provisions instances of Government employees approaching members of Parliament or of a State legislature , for sponsoring their individual cases, are on the increase. Government views this situation with serious concern. It has, therefore, been decided that, in future, when such instances come to the notice of the administrative Ministry/Department, action against the employee concerned should be taken in the following:-

(i) A Government employee violating the aforesaid provisions of the Conduct Rules for the first time after the issue of these instructions should be advised by the appropriate disciplinary authority, to desist from approaching members of State Legislatures to further his interest in respect of matters pertaining to his service conditions. A copy of this advice need not , however, be placed in the CR Dossier of the employee concerned.

(ii) If a Government employee is found guilty of violating the aforesaid provisions of the Conduct Rules a second time despite the issue of advice on the earlier occasion, a written warning should be issued to him by the appropriate disciplinary authority and a copy thereof should be placed in his CR dossier.

(iii)If a Government employee is found guilty of violating the aforesaid provisions of the Conduct Rules , despite the issue of warning to him, disciplinary actions should be initiated against him by appropriate disciplinary authority under the provision of CCS(CCA) rules, 1965.

2. Ministry of Finance , etc. are requested to bring the above instructions to the notice of all concerned under their control.

Copy of Extract of Para-8 of Department of Personnel and A.R. Office memorandum No. 25/19/64-Estt.(A) dated 8th November,1974.

While the official dealings of Government Servants with Members of Parliament and of State Legislature have to be regulated as stated in the previous paragraphs, it is necessary to invite the attention of Government servants to what is expected of them in their individual capacity in respect of their own grievances in the matter of condition of service. Under the relevant Conduct rules governing them Governments are prohibited from bringing or attempting to bring any political or other influence to bear upon any superior authority to further interests in respect of matters pertaining to their service under the Government. Therefore, a Government Servant is not expected to approach a Member of Parliament or of a State Legislature for sponsoring his individual case.

No. E(D&A)GS1-4 dt. 28-05-1990

Sub: Rule 20 of R.S. (Conduct) Rules,1966-prohibition of bringing political or outside influence in respect of matters pertaining to service under Government.

(alok tells: -
This letter re-circulates DOP's O.M. No. 11013/6/90 -Estt(A) dated 30-03-1990 which prohibits Government Servants from bringing political or outside influence in the matter of allotment of residential Accommodation. Attention is also invited to Board's letter No. E(D&A) 89RG6-97 dated 18-08-1989)

No. E(D&A)89 RG6-97 dt. 08-08-1989

Sub: Railway Services(conduct)Rules, 1966 Instructions with reference to Rule 20.

Rule 20 of the Railway services (conduct) Rules, 1966 prohibits a railway servant from bringing or attempting to bring any political or other outside influence to bear upon any superior authority in order to further his own interests in respect of matters pertaining to his service under the Government. In this connection attention is invited to the instructions contained in the following letters.

i) No.E(D&A)69 RG6-3 dated 14.2.69
ii) No.E(D&A)85 RG6-3 dated 28.5.85
iii) No.E(D&A)85 RG6-3 dated 12.8.85
iv) No.E(D&A)85 RG6-3 dated 11.9.85

As brought out in paragraph 2 of Railway Bds letter No.E(D&A)85 RG6-3 dated 12.8.85, premature and direct addressing of higher authorities including Board Members and Ministers should be totally discouraged and staff advised about

provisions of Rule 3, 20 and 26 of the Railway Services (conduct) Rules, 1966. Railway administrations were also requested to issue a general open circular once again to all railway servants to desist from writing direct to the higher authorities including the minister and that they should always send their communications to the competent authorities through proper channel. This will not however, act as a bar to sending direct complaints or communications giving information of a genuine nature about corruption or other kinds of malpractices; disposal of such letters are governed by Paragraphs 524 & 525 of the Indian Railways Vigilance Manual 1980 Edition.

Despite the above mentioned instructions, a case has come to notice where a non-gazetted staff has written directly to the Minister seeking an interview to ventilate his grievances in service matters. In view of this, it is requested that a general open circular setting out the rules provisions and Boards instructions in this regard may be issued once again for information and guidance of all the railway servants. The railway servants may be warned that any infringement of such instructions will be viewed seriously.

21. Restriction regarding Marriage.-

(1) No railway servant shall enter into, or contract, a marriage with a person having a spouse living, and,

(2) No railway servant, having a spouse living shall enter into, or contract, a marriage with any person.

(3) A railway servant who has married or marries a person other than of Indian Nationality shall forthwith intimate the fact to the Government.

Provided that the Government may permit a railway servant to enter into, or contract, any such marriage as is referred to in clause(1) or clause (2) if it is satisfied that-

(a) such marriage is permissible under the personal law applicable to such railway servant and the other party to the marriage; and

(b) there are other grounds for so doing.

Railway Board's important letters on rule 21.

No. E(D&A)92 GS-1 dt 10-04-1992

Sub: Rule 21 of Railway Services Conduct Rules 1966-Restrictions regarding Marriage.

Rule 21 of the Railway Services(Conduct) Rules 1966 is reproduced below:-

"21 Restrictions Regarding Marriage-

(1) No Railway Servant shall enter into or contract, a marriage with a person having a spouse living and,

(2) No railway servant, having a spouse living shall enter into, or contract, a marriage with any person.

(3) A railway servant who has married or marries a person other than of Indian Nationality shall forthwith intimate the fact to the Government. Provided that the Government may permit a railway servant to enter into, or contact, any such marriage as is referred to in clause (1) or clause(2), if it is satisfied that-

(a) such marriage is permissible under the personal law applicable to such railway servant and other party to the marriage; and

(b) there are other grounds for so doing.

2.A doubt has been raised whether permission for second marriage can be granted to an employee, whose personal law does not permit such marriage, on other valid grounds such as insanity/or sterility etc. In this connection, it is clarified that the first point to be scrutinized, when an application for permission is received, is whether such marriage is permissible under the personal law applicable to the applicant. If the personal law applicable to the employee does not permit such a marriage the question of giving permission on other grounds does not arise. If the personal law permits such marriage, then only the question arises whether there are sufficient grounds for allowing an exception to Government's general policy. The alleged grounds given in support of the request should be scrutinised to see whether the allegations are true and well founded. In case the wife also joins the application, it should be ascertained whether she has willingly consented and whether any letter, etc., purporting to proceed from her is genuine and is the outcome of her own free will. For this purpose higher officers in the department concerned may, if necessary, send for the applicant and his wife and make personal enquiries. Where the first wife's views have not been stated, they should, if possible be ascertained. If permission is sought on grounds of alleged sickness of the wife, as much information as possible should be obtained in consultation with the medical authorities. The arrangements made by the husband for the maintenance of the first wife should also be ascertained and it should be examined whether they are satisfactory.

3. In terms of Rule 2(a) of the Railway Services Conduct Rules, the 'Government' for purposes of granting permission under Rule 21(3) is the Railway Board in the case of all Railway employees whether gazetted or non gazetted. This power has not been delegated to any lower authority. All proposals for granting permission to the Railway employees for entering into or contracting second marriage as referred in clause 1 or clause 2 of Rule 21 should, therefore be sent to the Board's office for examination, with full details as per para 2 above.

4.(This disposes of NF Railway's letter no. 496E/41/1(Med) dated 14th February, 1992).

22. Consumption of Intoxicating Drinks and Drugs.-

(1) A railway servant shall -

(a) strictly abide by the law relating to intoxicating drinks or drugs during the course of his duties and shall also take care that the performance of the duties at any time is not affected in any way by the influence of such drink or drug.

(b) retrain from consuming any intoxicating drink or drug in a public place.

(2) A railway servant shall not-

(a) appear in a public place in a state of intoxication ;

(b) use any intoxicating drink or drug to excess ;

(c) if he belongs to the category of running staff (both loco and traffic) or is connected directly with train passing, have taken or used any intoxicating drinks

or drugs within eight hours the commencement of duty or take drinks or drugs during the course of duty.

***Explanation*.-** For the purpose of this rule, “public place" means any place or premises (including conveyance) to which the public have, or are permitted to have, access whether on payment or otherwise.

22-A Prohibition regarding employment of Children below 14 years of age – No Railway servant shall employ to work any child below the age of 14 years.

(Authority : Railway Board’s letter NO. E(D&A)99 GS1-3 dated 7.1.2000)

23. Interpretation.-

The power of interpreting these rules is reserved to the President.

24. Delegation of Powers.-

The Government may, by general or special order, direct that any power exercisable by it under these rules shall, subject to such conditions, if any, as may be specified in the order, be exercisable also by such officer or authority as may be specified in the order.

25. Repeal and Saving.-

The Railway Services (Conduct)Rules, 1956, contained in Appendix VIII of the Indian Railways Establishment Code, Volume I, shall cease to be in force except as respects things done or omitted to be done.

26. Obligation to abide by all Administrative Instructions.-

Notwithstanding anything contained in these rules, a railway servant shall be governed by all the administrative instructions that may be issued from time to time in regard to the conduct of railway servants.

Chapter-6

The Railway Servants (Discipline & Appeals) Rules, 1968

The Constitutional provisions are as under:-

309. Recruitment and conditions of service of persons serving the Union or a State. -Subject to the provisions of this Constitution, Acts of the appropriate Legislature may regulate the recruitment, and conditions of service of persons appointed, to public services and posts in connection with the affairs of the Union or of any State:

Provided that it shall be competent for the President or such person as he may direct in the case of services and posts in connection with the affairs of the Union, and for the Governor (http://alfa.nic.in/const/r253.htm) of a State or such person as he may direct in the case of services and posts in connection with the affairs of the State, to make rules regulating the recruitment, and the conditions of service of persons appointed, to such services and posts until provision in that behalf is made by or under an Act of the appropriate Legislature under this article, and any rules so made shall have effect subject to the provisions of any such Act.

310. Tenure of office of persons serving the Union or a State. -

(1) Except as expressly provided by this Constitution, every person who is a member of a defence service or of a civil service of the Union or of an all-India service or holds any post connected with defence or any civil post under the Union holds office during the pleasure of the President, and every person who is a member of a civil service of a State or holds any civil post under a State holds office during the pleasure of the Governor(http://alfa.nic.in/const/r254.htm) of the State.

(2) Notwithstanding that a person holding a civil post under the Union or a State holds office during the pleasure of the President or, as the case may be, of the Governor of the State, any contract under which a person, not being a member of a defence service or of an all-India service or of a civil service of the Union or a State, is appointed under this Constitution to hold such a post may, if the President or the Governor,(http://alfa.nic.in/const/r256.htm) as the case may be, deems it necessary in order to secure the services of a person having special qualifications, provide for the payment to him of compensation, if before the expiration of an agreed period that post is abolished or he is, for reasons not connected with any misconduct on his part, required to vacate that post.

311. Dismissal, removal or reduction in rank of persons employed in civil capacities under the Union or a State. -

(1) No person who is a member of a civil service of the Union or an all-India service or a civil service of a State or holds a civil post under the Union or a State shall be dismissed, removed or reduced in rank by an authority subordinate to that by which he was appointed. (http://alfa.nic.in/const/r257.htm)

(2) No such person as aforesaid shall be dismissed or removed or reduced in rank except after an inquiry in which he has been informed of the charges against him and given a reasonable opportunity of being heard in respect of those charges http://alfa.nic.in/const/r258.htm

Provided that where it is proposed after such inquiry, to impose upon him any such penalty, such penalty may be imposed on the basis of the evidence adduced during such inquiry and it shall not be necessary to give such person any opportunity of making representation on the penalty proposed:

Provided further that this clause shall not apply-

(a) Where a person is dismissed or removed or reduced in rank on the ground of conduct which has led to his conviction on a criminal charge; or

(b) Where the authority empowered to dismiss or remove a person or to reduce him in rank is satisfied that for some reason, to be recorded by that authority in writing, it is not reasonably practicable to hold such inquiry; or

(c) Where the President or the Governor, as the case may be, is satisfied that in the interest of the security of the State it is not expedient to hold such inquiry.

(3) If, in respect of any such person as aforesaid, a question arises whether it is reasonably practicable to hold such inquiry as is referred to in clause (2), the decision thereon of the authority empowered to dismiss or remove such person or to reduce him in rank shall be final.

In exercise of the powers conferred by the Proviso to Article 309 of the Constitution, the President of India has framed the Railway Servants (Discipline and Appeal) Rules, 1968.

Authorities: -

1. Appointing authority

(a) 'Appointing authority' in relation to Railway servant means-

(i) The authority empowered to make appointments to the Service of which the Railway servant is, for the time being, a member or to the grade of the Service in which the Railway servant is for the time being included or

(ii) The authority empowered to make appointment to the post which the Railway servant, for the time being holds, or

(iii) The authority which appointed the Railway servant to such Service, grade or post, as the case may be, or

(iv) Where the Railway servant having been a permanent member of any other Service or having substantively held any other permanent post, has been in continuous employment under the Ministry of Railways, the authority which appointed him to that Service or to any grade in that Service or to that post -

- whichever authority is the highest authority.

Disciplinary Authority means

(i) in relation to the imposition of a penalty on a Railway servant, the authority competent, under these rules, to impose on him that penalty;

(ii) In relation to Rule 9 and clauses (a) and (b) of sub-rule (1) of Rule 11 in the case of any gazetted Railway servant, an authority competent to impose any of the penalties specified in Rule 6;

(iii) in relation to Rule 9 in the case of any non-gazetted Railway servant, an authority competent to impose any of the major penalties specified in Rule 6;

(iv) In relation to clauses (a) and (b) of sub-rule (1) of Rule 11, in the case of a non-gazetted Railway servant, an authority competent to impose any of the penalties specified in Rule 6.

Suspension

(1) A Railway servant may be placed under suspension-

(a) where a disciplinary proceeding against him is contemplated or is pending; or
(b) where, in the opinion of the authority competent to place a Railway servant under suspension, he has engaged himself in activities prejudicial to the interest of the security of the state, or
(c) where a case against him in respect of any criminal offence, is under investigation, inquiry or trial

Deemed Suspension

(2) A Railway servant shall be deemed to have been placed under suspension by an order of the competent authority-

(a) with effect from the date of his detention, if he is detained in custody whether on a criminal charge or otherwise, for a period exceeding forty-eight hours.
(b) With effect from the date of his conviction, if in the event of a conviction for an offence, he is sentenced to a term of imprisonment exceeding forty-eight hours and is not forthwith dismissed or removed or compulsorily retired consequent to such conviction.

Explanation - The period of forty eight hours referred to in clause (b) of this sub-rule, shall be computed from the commencement of the imprisonment after the conviction and for this purpose, intermittent periods of imprisonment, if any, shall be taken into account.

(3) Where a penalty of dismissal, removal or compulsory retirement from service imposed upon a Railway servant under suspension, is set aside in appeal or on revision under these rules and the case is remitted for further inquiry or action or with any other directions, the order of his suspension shall be deemed to have continued

in force on and from the date of the original order of dismissal, removal or compulsory retirement and shall remain in force until further orders.

(4) Where a penalty of dismissal, removal or compulsory retirement from service imposed upon a Railway servant, is set aside or declared or rendered void in consequence of or by a decision of a court of law and the disciplinary authority on consideration of the circumstances of the case, decides to hold a further inquiry against him on the allegations on which the penalty of dismissal, removal or compulsory retirement, was originally imposed, the Railway servant shall be deemed to have been placed under suspension by the competent authority from the date of the original order of dismissal, removal or compulsory retirement and shall continue to remain under suspension until further orders.

Provided that no such further inquiry shall be ordered unless it is intended to meet a situation where the court has passed an order purely on technical grounds without going into the merits of the case.

(5) (a) an order of suspension made or deemed to have been made under this rule, shall continue to remain in force until it is modified or revoked by the authority competent to do so.

(b) Where a Railway servant is suspended or is deemed to have been suspended (whether in connection with any disciplinary proceeding or otherwise) and any other disciplinary proceeding is commenced against him during the continuance of that suspension, the authority competent to place him under suspension may, for reasons to be recorded by him in writing, direct that the Railway servant shall continue to be under suspension until the termination of all or any of such proceedings.

(c) An order of suspension made or deemed to have been made under this rule, may at any time be modified or revoked by the authority which made or is deemed to have made the order or by any authority to which that authority is subordinate.

(6) Notwithstanding anything contained in sub-rule 5, an order of suspension made or deemed to have been made under sub-rule (1) or sub-rule (2) of this rule shall not be valid after a period of 90 days unless it is extended after review in the manner provided in sub-rule (7) of this rule, for a further period before expiry of ninety days.

(7) The review of an order of suspension shall be done by the authority which is competent to modify revoke the suspension, on the recommendation of the review committee constituted for the purpose, and such competent authority shall pass orders either extending or revoking the suspension before expiry of ninety days from the date of order of suspension. Subsequent reviews shall be made before expiry of the extended period of suspension. Extension of suspension shall not be for a period exceeding one hundred and eighty days at a time.

PENALTIES AND DISCIPLINARY AUTHORITIES

Penalties

The following penalties may, for good and sufficient reasons and as hereinafter provided, be imposed on a Railway servant, namely-

Minor Penalties-

i. Censure,
ii. Withholding of his promotion for a specified period;
iii. Recovery from his pay of the whole or part of any pecuniary loss caused by him to the Government or Railway Administration by negligence or breach of orders;
iii.a. Withholding of the Privilege Passes or Privilege Ticket Orders or both;
iii.b Reduction to a lower stage in the time scale of pay by one stage for a period not exceeding three years, without cumulative effect and not adversely affecting his pension
iv. Withholding of increments of pay for a specified period with further directions as to whether on the expiry of such period this will or will not have the effect of postponing the future increments of his pay;

Major Penalties-

v. Save as provided for in clause (iii-b) reduction to a lower stage in the time scale of pay for a specified period, with further directions as to whether on the expiry of such period, the reduction will or will not have the effect of postponing the future increments of his pay.
vi. Reduction to a lower time- scale of pay, grade, post, or service, for a period to be specified in the order of penalty, which shall be a bar to the promotion of the Railway servant during such specified period to the time-scale of pay, grade, post or service from which he was reduced , with direction as to whether or not, on promotion on the expiry of the said specified period-

(a) the period of reduction to time-scale of pay, grade, post or service shall operate to postpone future increments of his pay, and if so, to what extent; and

(b) the Railway servant shall regain his original seniority in the higher time scale of pay, grade, post or service.

vii. Compulsory retirement;
viii. Removal from service which shall not be disqualification for future employment under the Government or Railway Administration;
ix. Dismissal from service, which shall ordinarily be disqualification for future employment under the Government or Railway Administration.

Provided that in cases of persons found guilty of any act or omission which resulted or would have, ordinarily, resulted in collision or Railway trains, one of the penalties specified in clauses (viii) and (ix) shall, ordinarily, be imposed and in cases of passing Railway signals at danger, one of the penalties specified in clauses (v) to (ix)

shall, ordinarily be imposed and where such penalty is not imposed, the reasons therefor shall be recorded in writing.

Provided further that in case of persons found guilty of possessing assets disproportionate to known sources of income or found guilty of having accepted or having obtained from any person any gratification, other than legal remuneration, as a motive or reward for doing or forbearing to do any official act, one of the penalties specified in clauses (viii) or (ix) shall ordinarily be imposed and where such penalty is not imposed, the reasons thereof shall be recorded in writing.

Authority to Institute Proceedings-

(1) The President or any other authority empowered by him, by general or special order may-

(a) Institute disciplinary proceedings against any Railway servant;

(b) Direct a disciplinary authority to institute disciplinary proceedings against any Railway servant on whom that disciplinary authority is competent to impose, under these rules any of the penalties specified in Rule 6.

(2) A disciplinary authority competent under these rules to impose any of the penalties specified in clauses (i) to (iv) of Rule 6 may, subject to the provisions of clause (c) of sub rule (1) of Rule 2 institute disciplinary proceedings against any Railway servant for the imposition of any of the penalties specified in clauses (v) to (ix) of Rule 6, notwithstanding that such disciplinary authority is not competent, under these rules, to impose any of the latter penalties.

PROCEDURE FOR IMPOSING PENALTIES.

1. PROCEDURE FOR IMPOSING MAJOR PENALTIES.

(1) No order imposing any of the penalties specified in clause (v) to (ix) of Rule 6 shall be made except after any inquiry held, as far as may be, in the manner provided in this rule and Rule 10, or in the manner provided by the Public Servants (Inquiries) Act, 1850 (37 of 1850) where such inquiry is held under that Act.

(2) Whenever the disciplinary authority is of the opinion that there are grounds for inquiring into the truth of any imputation of misconduct or misbehaviour against a Railway servant, it may itself inquire into, or appoint under this rule or under the provisions of the Public Servants (Inquiries) Act, 1850, as the case may be, a Board of Inquiry or other authority to inquire into the truth thereof.

(3) Where a Board of Inquiry is appointed under sub-rule (2) it shall consist of not less than two members, each of whom shall be higher in rank than the Railway servant against whom the inquiry is being held and none of whom shall be subordinate to the other member or members as the case may be, of such Board.

(4) Where the Board of Inquiry consists of two or more than two members, the senior member shall be the Presiding Officer.

(5) Every decision of the Board of Inquiry shall be passed by Majority of votes, and where there is an equality of votes on the findings, the finding of each member shall be incorporated in the report prepared under clause (I) of sub-rule (25).

EXPLANATION- Where the disciplinary authority itself holds the inquiry, any reference in sub rule (12) and in sub rules (14) to (25), to the inquiring authority shall be construed as a reference to the disciplinary authority.

1. Where it is proposed to hold an inquiry against a Railway servant under this rule and Rule 10, the disciplinary authority shall draw up or cause to be drawn up: -

(i) the substance of the imputations of misconduct or misbehavior into definite and distinct articles of charge;

(ii) a statement of the imputations of misconduct or misbehaviour in support of each article of charge which shall contain-

(a) a statement of all relevant facts including any admission or confession made by the Railway servant;

(b) a list of documents by which, and a list of witnesses by whom, the articles of charge are proposed to be sustained.

7. The disciplinary authority shall deliver or cause to be delivered to the Railway servant a copy of the articles of charge, the statement of the imputations of misconduct or misbehaviour and a list of documents and witnesses by which each article of charge is proposed to be sustained and shall require the Railway servant to submit a written statement of his defence within ten days of such further time as the disciplinary authority may allow.

Note: - If copies of documents have not been delivered to the Railway servant along with the articles of charge and if he desire to inspect the same for the preparation of his defence, he may do so, within 10 days from the date of receipt of the articles of charge by him and complete inspection within ten days thereafter and shall state whether he desires to be heard in person.

8. The Railway servant may, for the purpose of his defence submit with the written statement of his defence, a list of witnesses to be examined on his behalf.

Note: - If the Railway servant applies in writing for the supply of copies of the statements of witnesses mentioned in the list referred to in sub-rule (6), the disciplinary authority shall furnish him with a copy of each of such statement as early as possible and in any case not later than three days before the commencement of the examination of the witnesses on behalf of the disciplinary authority.

9. (a) (i) On receipt of the written statement of defence, the disciplinary authority shall consider the same and decide whether the inquiry should be proceeded with under this rule.

(ii) Where the disciplinary authority decides to proceed with the inquiry it may itself inquire into such of the articles of charge as are not admitted or appoint under sub-rule (2) a Board of Inquiry or other authority for the purpose.

(iii) Where all the articles of charge have been admitted by the Railway servant in his written statement of defence, the disciplinary authority shall record its findings on each charge, after taking such further evidence as it may think fit and shall act in the manner laid down in Rule 10.

(iv) If the disciplinary authority, after consideration of the written statement of defence, is of the opinion that the imposition of a Major penalty is not necessary it may drop the proceedings already initiated by it for imposition of major penalty, without prejudice to its right to impose any of the minor penalties, not attracting the provisions of sub-rule (2) of Rule 11. Where the disciplinary authority so drops the proceedings but consider it appropriate to impose any of the minor penalties, not attracting the provisions of sub-rule (2) of Rule 11, it may make an order imposing such penalty and it will not be necessary to give the Railway servant any further opportunity of making representation before the penalty is imposed.

b. If no written statement of defence is submitted by the Railway servant, the disciplinary authority may itself inquire into the articles of charge or may, if it considers it necessary to do so, appoint, under sub-rule (2) an inquiring authority for the purpose and also inform the Railway servant of such appointment.

a. Where the disciplinary authority itself inquires into an article of charge or appoints a Board of Inquiry or any other inquiring authority for holding an inquiry into such charge, it may, by an order in writing, appoint a railway or any other Government servant to be known as Presenting Officer to present on its behalf the case in support of the articles of charge.

The disciplinary authority shall, where it is not the inquiring authority, forward to the inquiring authority-

(i) a copy of the articles of charge and the statement of the imputation of misconduct or misbehavior.

(ii) a copy of the written statement of defence, if any, submitted by the Railway servant.

(iii) A copy of the statement of witnesses, if any referred to in sub-rule (6);

(iv) Evidence providing the delivery of the documents referred to in sub-rule (6) to the Railway servant;

(v) A copy of the order appointing the Presenting Officer, if any; and

(vi) A copy of the list of witnesses, if any, furnished by the Railway servant.

The Railway servant shall appear in person before the inquiring authority on such day and at such time within ten working days from the date of receipt by the inquiring authority of the order appointing him as such, as the inquiring authority may, by a notice in writing, specify in this behalf, or within such further time not exceeding ten days, as the inquiring authority may allow.

The inquiring authority shall, if the Railway servant fails to appear within the specified time, or refuses or omits to plead, require the Presenting Officer if any, to produce the evidence by which he proposes to prove the articles of charge and shall adjourn the case to a later date not exceeding thirty days, after recording an order that the Railway servant may for the purpose of preparing his defence, give a notice within ten days of the order or within such further time not exceeding ten days as the inquiring authority may allow for the discovery or production of any documents which are in possession of Railway Administration but not mentioned in the list referred to in sub-rule (6).

Note: The Railway servant shall indicate the relevance of the documents required by him to be discovered or produced by the Railway Administration.

13.(a) The Railway servant may represent his case with the assistance of any other Railway servant (including a Railway servant on leave preparatory to retirement) working under the same Railway Administration, subject to whose jurisdiction and control he is working. He cannot engage a legal practitioner for the purpose, unless the Presenting Officer appointed by the disciplinary authority is a legal practioner or the disciplinary authority having regard to the circumstances of the case, so permits. If the Railway servant is employed in the office of the Railway Board, it attached office or subordinate office, he may present his case with the assistance of any other Railway servant (including a Railway servant on leave preparatory to retirement), employed in the office of the Railway Board, attached office or subordinate office, as the case may be, in which he is working.

(b) The Railway servant may also present his case with the assistance of a retired Railway servant, subject to such conditions as may be specified by the President from time-to –time by general or special order in this behalf.

Note: (1) A non-gazetted Railway servant may take the assistance of an official of a Railway Trade Union, recognized by the Railway Administration under which the Railway servant is employed, to present his case before an inquiring authority but shall not engage a legal practitioner for the above purpose except in the circumstances brought out in clause (a) An official of a Railway Trade Union shall not be allowed to appear on behalf of an alleged delinquent railway official in connection with a disciplinary case pending against that official, to present his case favorably before an inquiring authority unless he has worked as such in a recognized Railway Trade Union for a period of at least one year continuously prior to his appearance before an inquiring authority for the above purpose and subject to the condition that he takes no fees. (2) Nomination of an assisting Railway servant or an official of a recognized Railway Trade Union shall be made within 20 days from the date of the appointment of the inquiring authority and it shall not be accepted if at the time of nomination the assisting Railway servant or the official or a recognized Railway Trade Union has more than three pending disciplinary cases in which he has to assist.

14. After the nomination of the assisting Railway servant or the official of a Railway Trade Union and other necessary steps preliminary to the inquiry are completed, a date ordinarily not exceeding one month from the date of appointment of the inquiring authority shall be fixed for the inquiry and the Railway servant informed accordingly.

15. The inquiring authority shall, on receipt of the notice for discovery or production of documents, forward the same or copies thereof to the authority in whose custody

or possession the documents are kept with a requisition for the production of the documents by such date as may be specified in such requisition.

Provided that the inquiring authority may, for reasons to be recorded by it in writing, refuse to requisition such of the documents as are, in its opinion, not relevant to the case.

16. On receipt of the requisition referred to in sub-rule (15), every authority having the custody or possession of the requisitioned documents shall produce the same before the inquiring authority by the specified time.

Provided that if the authority having the custody or possession of requisitioned documents is satisfied for reasons to be recorded by it in writing that the production of all or any such documents would be against the public interest or security of the Sate, it shall inform the inquiring authority accordingly and the inquiring authority shall, on being so informed, communicate the information to the Railway servant and withdraw the requisition made by it for the production or discovery of such documents.

17. On the date fixed for the inquiry, the oral and documentary evidence by which the articles of charge are proposed to be proved, shall be produced by or on behalf of the disciplinary authority. The witnesses shall be examined by or on behalf of the Presenting Officer, if any, and may be cross examined by or on behalf of the Railway servant. The Presenting officer, if any shall be entitled to re-examine the witnesses on any points on which they have been cross examined, but not on any new matter without the leave of the inquiring authority. The inquiring authority may also put such questions to the witnesses as it thinks fit.

18. If it shall appear necessary before the close of the case on behalf of the disciplinary authority, the inquiring authority may, in its discretion, allow the Presenting Officer, if any, to produce evidence not included in the list given to the Railway servant or may itself call for new evidence or recall and re-examine any witness and in such cases the Railway servant shall be entitled to have, if he demands it, a copy of the list of further evidence proposed to be produced and an adjournment of the inquiry for three clear days before the production of such new evidence exclusive of the day of adjournment and the day to which the inquiry is adjourned. The inquiring authority shall give the Railway servant an opportunity of inspection such documents before they are taken on the record . The inquiring authority may also allow the Railway servant to produce new evidence if it is of the opinion that the production of such evidence is necessary in the interest of justice.

Note: New evidence shall not be permitted or called for or any witness shall not be recalled to fill up any gap in the evidence. Such evidence may be called for only when there is an inherent lacuna or defect in the evidence, which has been produced originally.

19. When the case for disciplinary authority is closed, the Railway servant shall be required to state his defence orally, or in writing, as he may prefer. If the defence is made orally it shall be recorded and the Railway servant shall be required to sign the record. In either case a copy of the statement of defence shall be given to the Presenting officer, if any.

20. The evidence on behalf of the Railway servant shall then be produced. The Railway servant may examine himself in his own behalf, if he so prefers. The witnesses produced by the Railway servant shall then be examined by or on behalf of him and shall be cross-examined by or on behalf of the Presenting Officer, if any. The Railway servant shall be entitled to re-examine the witnesses on any point on which they have been cross- examined but not on any new matter, without the leave of the inquiring authority. The inquiring authority may also put such questions to the witnesses as it thinks fit.

21. The inquiring authority may, after the Railway servant closes his case, and shall, if the Railway servant has not examined himself, generally question him on the circumstances appearing against him in the evidence for the purpose of enabling the Railway servant to explain any circumstances appearing in the evidence against him.

22. The inquiring authority may, after the completion of the production of evidence, hear the Presenting Officer, if any, and the Railway servant, or permit them to file written briefs of their respective cases, if they so desire.

23. If the Railway servant, to whom a copy of the articles of charge has been delivered does not submit the written statement of defence on or before the date specified for the purpose or does not appear in person before the inquiring authority may hold the inquiry ex parte.

24. Whenever any inquiring authority, after having heard and recorded the whole or any part of the evidence in an inquiry ceases to exercise jurisdiction therein and is succeeded by another inquiring authority which has, and which exercise, such jurisdiction, the inquiring authority so succeeding may act on the evidence so recorded by its predecessor, or partly recorded by its predecessor, and partly by itself:

Provided that if, the succeeding inquiring authority is of the opinion that further examination of any of the witnesses whose evidence has already been recorded is necessary in the interest of justice, it may recall, examine, cross-examine any such witnesses as hereinbefore provided.

25(i) after the conclusion of the inquiry, a report shall be prepared and it shall contain-

a. The articles of charge and the statement of imputations of misconduct or misbehavior.

b. The defence of the Railway servant in respect of each article of charge,

c. An assessment of the evidence in respect of each article of charge and

d. The findings on each article of charge and the reasons therefore

Explanation- If in the opinion of the inquiring authority the proceedings of the inquiry establish any article of charge different from the original articles of charge, it may record its findings on such article of charge.

Provided that the findings on such article of charge shall not be recorded unless the Railway servant has either admitted the facts on which such article of charge is based or has had a reasonable opportunity of defending himself against such article of charge.

(ii) The inquiring authority, where it is not itself the disciplinary authority, shall forward to the disciplinary authority the records of inquiry which shall include–

a. The report prepared by it under clause(I)

b. The written statement of defence, if any, submitted by the Railway servant;

c. The oral and documentary evidence produced in the course of the inquiry;

d. Written briefs, if any, filed by the Presenting Officer, if any, or the Railway servant or both during the course of the enquiry; and

e. The orders, if any, made by the disciplinary authority in regard to the inquiry.

2. <u>PROCEDURE FOR IMPOSING MINOR PENALTIES.</u>

(1) Subject to the provisions of sub-clause (iv) of clause (a) of sub-clause (9) or Rule 9 and of sub-rule (4) of Rule 10, no order imposing on a Railway Servant any of the penalties specified in clauses (i) to (iv) of Rule 6 shall be made except after –

(a) informing the Railway Servant in writing of the proposal to take action against him and of the imputations of mis-conduct or mis-behaviour on which it is proposed to be taken, and giving him a reasonable opportunity of making such representation as he may wish to make against the proposal;

(b) holding an inquiry in the manner laid down in sub rules (6 to (25) of Rule 9, in every case in which the disciplinary authority is of the opinion that such inquiry is necessary;

(c) taking the representation, if any, submitted by the Railway servant under clause and the record of inquiry, if any, held under clause (b) into consideration;
(d) recording a finding on each imputation of misconduct or misbehaviour and
(e) consulting the Commission where such consultation is necessary.

(2) Notwithstanding anything contained in clause (b) of sub-rule (1), if in a case, it is proposed, after considering the representation, if any, made by the Railway Servant under clause (a) of that sub-rule to withhold increments of pay and such withholding of increments is likely to affect adversely the amount of pension or special contribution to Provident Fund payable to the Railway Servant or to withhold increments of pay for a period exceeding three years or to withhold increments of ay with cumulative effect for any period, an inquiry shall be held in the manner laid down in sub-rules (6) to (25) of Rule 9, before making any order imposing on the Railway any such penalty.

(1) Deleted.

(2) The record of proceedings in cases specified in sub-rules (1) and (2) shall include-

(i) a copy of the intimation of the Railway servant of the proposal to take action against him;
(ii) a copy of the statement of imputations of misconduct or misbehaviour delivered top him;
(iii) his representation, if any,
(iv) the evidence produced during the inquiry, if any;
(v) the advice of the Commission, if any,
(vi) the findings on each imputations of misconduct or misbehaviour; and
(vii) the order on the case together with reasons therefore.

Action on the inquiry report:

(1) If the disciplinary authority:

(b) After considering the inquiry report, is of the opinion that further examination of any of the witnesses is necessary in the interests of justice, it may recall the said witness and examine, cross examine and re-examine the witness;

(c) Is not itself the inquiry authority may, for reasons to be recorded by it in writing, remit the case to the inquiring authority for further inquiry and report and the inquiring authority shall thereupon proceed to hold further inquiry according to the provisions of Rule 9, as far as may be.

(2) The disciplinary authority –

(a) Shall forward or cause to be forwarded a copy of the report of the inquiry, if any, held by the disciplinary authority or where the disciplinary authority is not the inquiring authority a copy of the report of the inquiring authority, its findings on further examination of witnesses, if any, held under sub-rule (1)(a) together with its own tentative reasons for disagreement, if any, with findings of the inquiring authority on any article of charge to the Railway servant, who shall be required to submit, if he so desires, his written representation or submission to the disciplinary authority within 15 days, irrespective of whether the report is favorable to the Railway servant;

(b) Shall consider the representation if any, submitted by the railway servant and record its findings before proceeding further in the matter as specified in sub-rule (3), (4) and (5).

(3) Where the disciplinary authority is of the opinion that the penalty warranted is such as is not within its competence, he shall forward the records of the inquiry to the appropriate disciplinary authority who shall act in the manner as provided in these rules.

(4) If the disciplinary authority having regard having regard to its findings on all or any of the articles of charges, is of the opinion that any of the penalties specified in

clauses (i) to (iv) of Rule 6 should be imposed on the Railway Servant, it shall, notwithstanding anything contained in rule 11 make an order imposing such penalty:

Provided that in every case where it is necessary to consult the Commission, the record of the inquiry shall be forwarded by the disciplinary authority to the Commission for its advice shall be taken into consideration before making any order imposing any penalty on the Railway Servant.

(5) If the disciplinary authority, having regard to its findings on all or any of the articles of charges and on the basis of the evidences adduced during the inquiry, is of the opinion that any of the penalties specified in clauses (v) to (ix) of Rule 6 should be imposed on the Railway Servant, it shall make an order imposing such penalty and it shall not be necessary to give the railway servant any opportunity of making representation on the penalty proposed to be imposed:

Provided that in every case where it is necessary to consult the Commission, the record of the inquiry shall be forwarded by the disciplinary authority to the Commission for its advice and such advice shall be taken into consideration before making any order imposing any such penalty on the railway servant.

Various forms used under these rules:-

Standard Form No.1
Standard form of order of suspension
Rule 5(1) of the RS (D&A) Rules, 1968

Office_____
Place_____
Dated_____

No.

Order

Whereas a disciplinary proceedings against Shri_____, Design._____, (Name and design of RE) is contemplated/ Pending

Whereas a case against Shri_____ (Name & design of RE in respect of whom a criminal offence is under investigation/inquiry/trial

Now, therefore, the undersigned (the authority competent to place the Railway Servant under suspension in terms of the Schedules II and III appended to RS(D&A)Rules, 1968), in exercise of powers conferred by Rule 4 / proviso to rule No.4 of RS(D&A) Rules 1968. hereby places the said Shri _____, Design_____ under suspension with immediate effect/with effect from_____.

It is further ordered that during the period this order shall remain in force, the said Shri Shri _____, Design_____ _ shall not leave the headquarters without obtaining previous permission of the competent authority.

Signature _____
Design._____
(Design of the suspending authority)

Copy to:
Shri _____
(Name and design of the suspended Railway Servant)

Orders regarding subsistence allowance admissible to him/her during the period of suspension will issue separately.

Standard form No.2

(Standards form for deeming Railway Servants under suspension)
Rule 5(2) of RS (D&A) Rules, 1968.

_____Railway
Place_____
Dated_____
No._____

Order

Whereas a case against Shri_____
(Name and designation of the Railway Servant)
In respect of a criminal offence is under investigation.

And whereas the said Shri _____ was detained in custody on _____for a period exceeding 48 hours.

Now, therefore the said Shri _____ is deemed to have been suspended with effect from the date of detention i.e. the _____ in terms of Rule No.5(2) of D&A Rules 1968 and shall remain under suspension under further orders.

Signature _____
Design._____
(Design of the suspending authority)

Copy to:
Shri_____
(Name and design of the suspended
Railway Servant)

Orders regarding subsistence allowance admissible to him/her during the period of suspension will issue separately.

Standard Form No.3

(Standard form of certificate to be furnished by
suspended official under rule 2043(2) R-II)

I,_____(Name of the Railway Servant) having been placed under suspension by order No._____dated_____
While holding the post of _____ do hereby certify that I have not been employed in any business, profession, or vocation for profit/remuneration/salary.

Signature_____
Name of the Railway Servant_____
Address_____

Standard form No.4

Standard form of order for revocation of suspension
(Rule 5(5)© of RS(D&A) Rules 1968

_____Railway
Place_____
Dated_____
No._____

Order

Whereas the order placing Shri _____(Name and designation of the Railway servant) under suspension was made/was deemed to have been made by_____

Now, therefore, the undersigned (the authority which made or is deemed to have made the order of suspension or any other authority to which that authority is subordinate) in exercise of the powers conferred by Clause © of sub-rule (5) of rules 5 of the RS(D&A) Rule, 1968, hereby revokes the said order of suspension with immediate effect / with effect from_____

Signature_____
Name_____
Design of authority making this order_____

Copy to
Shri_____
Name and designation of the suspended Railway Servant)
Address_____

STANDARD FORM NO. 5
Standard Form of Charge-sheet
(Rule 9 of Railway Servants (Discipline and Appeal) Rules, 1968)

No.

Office of issue_____
Place of issue_____
Date of_____

MEMORANDUM

1.The undersigned proposes to hold an inquiry against Shri ---------- Design..____ Under Rule 9 of Railway Servants (Discipline and Appeal) Rules, 1968. The substance of the imputations of misconduct and misbehavior in respect of which the inquiry is proposed to be held is set out in the enclosed statement of articles of charge (Annexure I). A statement of the imputations of misconduct or misbehaviour in support of each article of charge is enclosed (Annexure II). A list of documents by which and a list of witnesses by whom, the articles of charges are proposed to be sustained are also enclosed (Annexure III & IV). Further, copies of documents mentioned in the list of documents, are per Annexure III are enclosed.

2. _____- _is hereby informed and if he so desires, he can inspect and take extracts from the documents mentioned in the enclosed list of documents (Annexure III) at any time during office hours within ten days of receipt of this memorandum. For this purpose he should contact the ------- immediately on receipt of this memorandum.

3. _____- is further informed that he may, if he so desired, take the assistance of another Railway servant (who satisfies the requirements of Rule 9(13) of the Railway Servants (Discipline and Appeal) Rules, 1968, and Note 1 and/or Note 2 thereunder as the case may be) for inspecting the documents and assisting him in presenting his case before the Inquiring Authority in the event of an oral inquiry being held. For this purpose, he should nominate one or more person/s in order of preference. Before nominating the assisting Railway servant(s) _____ should obtain an undertaking from the nominee(s) that he(they) is (are) willing to assist him during the disciplinary proceedings. The undertaking should also contain the particulars of other case(s) if any, in which the nominee(s) had already undertaken to assist and the undertaking should be furnished to the undersigned alongwith the nomination.

4. _____ is hereby directed to submit to the undersigned a written statement of his defence within ten days of receipt of this Memorandum, if he does not require to inspect any documents for the preparation of his defence, and within ten days after completion of inspection of documents if he desires to inspect documents, and also

(a) to state whether he wishes to be heard in person; and

(b) to furnish the names and addresses of the witnesses if any; whom he wishes to call in support of his defence.

5. ---------- is informed that an inquiry will be held only In respect of those articles of charge as are not admitted. He should, therefore, specifically admit or/deny each article of charge.

6. _____- is further informed that if he does not submit his written statement of defence within the period specified in para 2 or does not appear in person before the inquiring authority or otherwise fails or refuses to comply with the provisions of Rule 9 of the Railway Servants (Discipline and Appeal) Rules, 1968, or the orders/ directions issued in pursuance of the said rule, the inquiring authority may hold the inquiry ex parte.

7. The attention of ---------- is invited to Rule 20 of the Railway service (Conduct) Rules, 1966 under which no railway servant shall bring or attempt to bring any political or other influence to bear upon any superior authority to further his interests in respect of matter pertaining to his service under the Government. If any representation is received on his behalf from another person in respect of any matter dealt within these proceedings, it will be presumed that _____ is aware of such a representation and that it has been made at his instance and action will be taken against him for violation of Rule 20 of the Railway Services (Conduct) Rules, 1966.

8. The receipt of this Memorandum may be acknowledged.

Signature:
(NAME AND DESIGNATION OF THE OFFICER ISSUING)
TO
(Name and designation of the employee)
through _____

STANDARD FORM NO. 6

Standard Form for Refusing Permission to inspect Document
(Rule 9(16) RS (D&A) Rules, 1968)

No……
Railway……
Place of issue ……
Dated……

ORDER

Shri……...
(Name and designation of the Railway servant)
…….. has requested permission to inspect and take extracts from the records specified below for the purpose of preparing his defence in the inquiry pending against him in pursuant to Memorandum No…….. dated …….. The undersigned has carefully considered the request and has decided to refuse such permission for the reasons recorded below against each item:

Description of records	Reasons for refusing inspection or taking extracts
1……	……
2……	……
3……	……
4……	……
5……	……

Signature……
Name……..
(Designation of the Inquiry Authority)

****

STANDARD FORM NO.7

Standard Form of Order Relating to Appointment of Inquiry Officer / Board of Inquiry (Rule 9(2) of RS (D&A) Rules, 1968)

No……
Railway……
Place of issue ……
Dated……

ORDER

Whereas an Inquiry under rule 9 of the Railway Servants (Discipline and Appeal) Rules, 1968 is being held against Shri _____

_____

(Name and designation of the Railway servant)

AND WHEREAS the undersigned considers that an Inquiry officer should be appointed to inquire into the charge framed against him.

NOW, THEREFOR, the undersigned, in exercise of the powers conferred by sub-rule (2) of the said Rule, hereby appoints,

Name of the Member-	Designation
1……	……
2……	……
3……	……

OR

Shri Man Singh, APO/BRC……
(Name and designation of the Inquiry officer)
as Inquiry Officer to Inquire into the charges against the said Shri D J Jha, HC, DRM Office, BRC

Signature……
Name ……(C.K.N.Nair)……
Designation Sr.DPO/BRC……..

Copy to:
1. Shri Man Singh, APO/BRC
(Name and designation of the Inquiry officer)

2. Shri …….
(Name and designation of the Inquiry officer)

3.Shri …….
(Name and designation of the Inquiry officer)
OR
Shri …….
(Name and designation of the Inquiry officer)

STANDARD FORM NO.8

Form for appointment of Presenting Officer
(Sub rule (9) (iv) (c) of Rule 9 of RS (D&A) Rules, 1968)

No…….
Railway…….
Place of issue ……
Dated…….

ORDER

Whereas an Inquiry under rule 9 of the Railway Servants (Discipline and Appeal) Rules, 1968 is being held against Shri …….

And whereas the undersigned considers it necessary to appoint a person to present the case in support of the charges before the Inquiring Authority.

Now, Therefore, the undersigned in exercise of the powers conferred by sub-rule 9 (iv) (c) of Rule 9 of the RS (D&A) Rules, 1969 hereby appoints Shri …… as Presenting Officer to present the case in support of the charges before the Inquiring Authority.

Shri ……is also authorised to appoint, during his temporary non-availability any other CBI/Railway Official not below his rank for representing the case before the Inquiry Officer on his behalf and on behalf of the disciplinary authority for examination, cross examination as well as the arguments etc.

Signature……
Name…….
Dated ……..

Copy forwarded for information to:
1. Shri …….
(Name and designation of the Inquiry officer)

Signature……
Name…….
(Designation)

No…….
Copy forwarded for information to:
1. Shri …….
(Name and designation of the Inquiry officer)
2. Shri …….
(Name and designation of the Inquiry officer)

Signature……
Name…….
(Designation)

****

STANDARD FORM NO. 10

Standard Form of Order for taking Disciplinary Action, in Common Proceedings
(Rule 13 of RS(D&A) Rules, 1968)

No……
Railway……
Place of issue ……
Dated……

ORDER

Name of Railway servants
1. Shri……
2. Shri……
3. Shri……
4. Shri……
5. Shri……

Whereas the Railway servants specified in the margin are jointly concerned in a disciplinary case.
* Now, therefore, in exercise of the powers conferred by sub-rules (1) and (2) of rule 13 of Railway Servants (Discipline and Appeal) Rules, 1968, the undersigned hereby directs:

% (1) Disciplinary action against all the said Railway servants shall be taken in the common proceedings.

** (2) Shri……. (Name and designation of authority) shall function as the Disciplinary Authority for the purpose of the common proceeding and shall be competent to impose the following penalties –
……..
@
…….

$ (3) that the procedure prescribed in Rule 9 and Rule 10 / Rule 11 shall be followed in the said proceedings.
Signature ……..
Name……
(Designation of competent authority) Rule 13(1))

Copy to:
1. Shri …….
(Name and designation of the Inquiry officer)
2. Shri …….
(Name and designation of the Inquiry officer)
3.Shri …….
(Name and designation of the Inquiry officer)

4.Shri …….

(Name and designation of the Inquiry officer)
5.Shri …….
(Name and designation of the Inquiry officer)

……

* The authority competent to impose the penalty of dismissal from service on all such Railway servants or if they are different, highest of such authorities with the consent of others.
% Score out of the portion not applicable
** See rule 13(2) (i)
@ Here specify the penalties, see Rule 13(2) (ii)
$ See Rule 13(2)(iii)

****

STANDARD FORM NO. 11
Standard Form of Memorandum of charge for Imposing Minor Penalties
(Rule 11 of RS(D&A) Rules, 1968)

No…….
Railway…….
Place of issue ……
Dated…….

MEMORANDUM

1. Shri……
(Name, designation and office in which working)
is hereby informed that the undersigned proposes to take action against him under rule 11 of the Railway Servants (Discipline and Appeal) Rules, 1968. A statement of the imputations of misconduct or misbehaviour on which action is proposed to be taken as mentioned above, is enclosed.

2.Shri…….. is hereby given an opportunity to make such representation as he may wish to make against the proposal. The representation, if any, should be submitted to the undersigned so as to reach within ten days of receipt of this Memorandum.

3. If Shri…… fails to submit his representation within the period specified in para 2, it will be presumed that he has no representation to make and orders will be liable to be passed against Shri…….. ex parte.

4. The receipt of this Memorandum should be acknowledged by Shri……

Signature……
Name……..
……
(Designation of the competent authority)

To
Shri……
(Name, designation and office of the Railway servant)

Chapter-7

L E A V E R U L E S

DIFFERENT KINDS OF LEAVE RULES

(1) **Company Leave Rules :**
These rules apply to the staff which was taken over from the East Indian Railway Company and Great Indian Peninsula Railway Company and did not elect to come under New Leave Rules. These rules are almost obsolete, since all the employees who were governed by these rules have retired now.

(2) **Fundamental Leave Rules :**
These rules were applicable to the staff appointed in State Railways upto 31.08.28. These rules have also become obsolete.

(3) **New Leave Rules or State Railway Leave Rules, 1930 :**
These rules were applicable to staff who are not governed under Fundamental Leave Rules and are appointed upto 31.01.49 but have not elected to come under C.P.C. Leave Rules.

(4) **C.P.C. Leave Rules or Liberalized Leave Rules, 1949 :**
These rules apply to the staff who are appointed on or after 1.2.49 and also the existing staff as on 31.01.49 who opted to come under these rules.

C.P.C. LEAVE RULES

C.P.C. Leave Rules which are also called Liberalized Leave Rules came into effect from 1st February, 1949. These rules replaced the New Leave Rules and every existing employee was given the option of electing these rules in order to bring about maximum uniformity amongst the Railwaymen insofar as leave is concerned. A majority of the Railwaymen opted in favour of these rules and the staff appointed after the introduction of these rules automatically came under them. These rules are called Liberalized Rules as they are surely an improvement over the New Leave Rules which have been superseded. At present the C.P.C. Leave Rules are most popular amongst the Railwaymen. Under these rules, any kind of leave i.e. L.A.P., L.H.A.P., etc. may be granted in combination with or in continuation of any other kind of leave except CL or Sp. CL.

Following are the different kinds of leave, an employee is entitled to get under C.P.C. Leave Rules.

LEAVE ON AVERAGE PAY

(1) **Crediting of Leaves :**

The L.A.P. account of all the Railway servants, should be credited with 30 days. This should be done in two installments, 15 days on the first of January and 15 days on the 1st of July every year. With effect from 01.01.77, 15 days L.A.P. should be credited to the account of Railway servants at the commencement of each calendar half year. The credit of 15 days Leave, thus afforded will be reduced by 1/10th of the period of extraordinary leave availed during the previous half year, subject to a maximum of 15 days. (R.B. No. E(P&A)1-76/CPC/LE-3 of 11.03.77) (N.R., S.N. 6734). One tenth of the period of dies –non, if any, in the previous half year will also be deducted (R.B. No, E(P&A) I-79/CPC/LE-1 of 05.05.79)(N.R., S.N. 7287).

Leave at the credit of the employee at the close of the previous half year shall be carried forward to the next half year subject to the leave so carried forward plus the credit for that half year not exceeding the maximum limit of 300 days.

Leave credited in the leave account of an employee on 1st January /1st July can be sanctioned retrospectively e.g. an employee on L.W.P. from 27.12.68 to 10.01.69 (having no LA.P. or H.A.P. at his credit) can get his L.W.P. from 01.01.69 to 10.01.69 converted L.A.P. as soon as the advance credit of L.A.P. is afforded to him (N.R., S.N. 4727).

During the half yearly period in which an employee is appointed, credit of L.A.P. @ 2 ½ days per month of service is given and for this purpose half a month or more will be taken as one month.

During the period of 01.01.66 to 31.10.73 credit of L.A.P. in the leave account of a temporary staff before completion of one year service would be made on half yearly basis once on 1st January and again on 1st July at the rate of 1 ¼ days for each completed month of service likely to render in the calendar half year.

(2) **Credit of Leave to Retiring Employees :**

During the calendar half year in which a staff is due to retire or goes on L.P.R. or resigns from service or is removed or dismissed from service or dies , recalculation will be made for crediting leave for that half year. This will be at the rate of 2 ½ days per month and for this, half month or more will be taken as a month. (R. B. No. E (S) 62-CTC/LE/9 of 13.12.65) & (E (S)66 CTC/LE/1 of 1.9.66 & 28.9.66 & R. B. No. PC-III-878/LE-I of 13.05.74 and 15.05.74.

(3) **Staff in Railway Schools** :

Staff serving in Railway Schools are entitled to 10 days L.A.P. in a year in which they avail the full vacation. When, however, they do not avail the vacation in any year, they will be entitled to L.A.P. for that year as other Railway staff.

If such staffs are prevented from availing full vacation, they will be entitled to L.A.P. in such proportion of the period of 30 days as the number of days of vacation not taken bears to the full vacation.

(4) **Accumulation of Leave** :
Maximum leave that can be accumulated at any time is 300 days.

(5) **Maximum Leave granted at One time :**
Maximum leave that can be granted at one time is 120 days, but in case the leave is to be spent out of India, except Myanmar, Sri Lanka, Nepal and Pakistan, then it can be upto the extent of 180 days.

An employee, officiating in a higher post can only be granted leave on full average pay at a stretch for 60days at one time excepting Class IV staff. If leave is granted beyond this period it will be based on substantive pay.

(6) **Half day's leave :**
The workshop staff may be allowed to take leave for half a day with pay or without pay. For this purpose leave for half a day means authorised absence from duty for over half an hour. The concession of such leave is however, restricted to six such occasions in a year. (R.B. No. E(L) 61 WSI 5 of 06.11.61). The facility of short leave may also be granted to clerical and supervisory staff of Workshops, where it was available prior to its withdrawal in 1966 (R.B. No. E(G)72 LE I-6 of 30.11.73) (N.R., S.N. 6061).

Leave in terms of half day may also be given to artisans and Class IV (Group "D") staff employed in Electrical Power Shops and other workshops located within or outside Mechanical Workshops and to artisans and other Class-IV (Group-"D") staff of Stores Depots located within mechanical workshops who work in split shifts and are not entitled to casual leave. Such categories of staff employed in Stores Depots located outside the workshops will not be granted leave in terms of half-a-day but if they were enjoying this facility in the past and are not entitled to casual leave, the facility may not be withdrawn. (R. B. No. E(L)65 WSI-6 of 30.03.66.

(7) **Delegation of powers for Sanctioning Leave :**
The G.M. may delegate the power of sanctioning casual and earned leave upto 15 days to Class III and Class IV (Group "C' & "D") staff to Senior Supervisory staff in Level 6 {the erstwhile grade of RS. 5000-8000 (R.S.)} and above, such as Permanent Way Inspectors, I.O.Ws, Traffic Inspectors, Signal Inspectors, Loco Foremen and Station Masters of important stations. (R.B. No. E (G)63 LE 2/22 of 22.09.64)& (E(G)76

LE/2/40 of 04.11.78) (N.R., S.N. 7168).

(8) **Leave on Medical Certificate :**

A gazetted Railway servant can also be granted leave on medical certificate for period exceeding 2 months on the basis of a certificate from an Authorised Medical Attendant as in the case of non-gazetted Railway servants. The production of medical certificate can be dispensed with by the competent authority in case of an application for leave from a Gazetted Officer also for period not exceeding 3 days at a time.(R.B. No. E (P&A) 1-76/CPC/LE/3 of 11.03.77) (N.R., S.N. 6734).

(9) **Carry Forward :**

Temporary Railway servants who have not completed 3 years of service and who resign from such service for taking up appointment in a post in another Central Government department/office and the application had been duly forwarded by the Railway Administration concerned, are also eligible for the benefit of carry forward, of leave on confirmation in the new post. (R. B. No. E(NG)II-76/AP/12 of 04.03.77)(N.R., S.N. 5732).

(10) **Maximum Leave :**

No Railway servant shall be granted leave of any kind for a continuous period exceeding 5 years unless otherwise determined by the President in view of exceptional circumstances. (R.B. No. F/E/III/75 SFN/1 of 16.06.76) (N.R., 6560)

.

(11) **Prefixing/Suffixing of Holidays to Leave :**

Prefixing and suffixing of holidays to leave, other than on medical certificate shall be allowed automatically except in cases where due to administrative reasons such prefixing and suffixing of holidays in specifically withheld.(R.B. No. E (P&A)1-76/CPC/LE-3 of 11.03.77)(N.R. S.N. No. 6734)

(12) **Leave cannot be claimed as a matter of right**

Leave cannot be claimed by a Railway servant as matter of right. The competent authority has the discretion to refuse or revoke the leave of any description. The discretion, is however, to be exercised judiciously and must not be used as, in effect, to abridge the employees leave entitlement. The sanctioning authority has no discretion to alter the nature of leave due applied for.

(13) **Overstaying-Unauthorized absence:**

Unless the authority competent to grant leave extends the leave, a railway servant who remains absent after the end of leave is entitled to no leave salary for the period of such absence and the period shall be debited against his leave account as though it were leave on half average pay, to the extent such leave is due, the period in excess of such leave due being

treated as extraordinary leave.

Wilful absence from duty after the expiry of leave renders a railway servant liable to disciplinary action.

A person remaining absent with or without leave for more than **5 years** is **deemed** to have **resigned** from Railway Service (RBE 14/2016). **GMs** have been delegated powers in respect of Grp.C employees for leave **beyond 5 years.**

An officer who is absent from duty without any authority shall not be entitle to any pay and allowances. Such absence shall be deemed to cause **break in service** unless otherwise decided by the competent authority. (RBE-59/2014).

Treatment of Period of un-authorised absence -can be **commuted into extra ordinary leave (EOL)** retrospectively at the discretion of competent authority but such discretion be used judiciously**.**

14 Maximum of 10 days encashment of LAP while in service for maximum of 6 occasion every alternate year is admissible to every railway servant. The employee, however, should avail atleast one day leave of any kind and a full set of Pass/PTO. Such encashment can be availed during the block period starting 1st September to 31st August at the interval of 2 years

LEAVE ON HALF AVERAGE PAY

(1) **Leave admissible** :
The rate at which leave at half average pay can be earned is 20 days for each completed year of service. This applies to all the staff irrespective of class.

(2) **Accumulation :**
Leave on half average pay can be accumulated upto any extent.

(3) **Maximum Leave to be granted :**
Maximum leave on half-average pay that can be granted at one time is 24 months.

(4) **Leave Salary :**
During leave on half average pay, the salary payable will be half of the substantive pay. But when leave is commuted then it will be on full average pay.

(5) **Crediting of Leave :**
The Railway Board has decided that the Railway employees may be allowed the benefit of advance credit of leave on his average pay by crediting to their leave account on 1st January and 1st July each year. (R.B. No. E(P&A)I-85/JCM/NC-3 of 30-9-86 (N. R. , S. N. 7964)

COMMUTED LEAVE

Leave on half-average pay can be converted into half the period of such leave on average pay on medical grounds. The leave so converted is called "Commuted Leave." The employee can ask for commutation of his leave on half average pay even if he has got leave on average pay at his credit in his leave account. (739R). The commutation of half pay leave can be allowed up to 60 days in continuation of maternity leave without medical certificate.

On the expiry of commuted leave, if the employee wants to retire voluntarily, the commuted leave shall once again be reconverted into half pay leave and excess amount drawn by the employee as leave salary shall be recovered. If, however, the retirement is thrust upon him by the reasons of ill health, incapacitating him for further service, no refund should be taken. (R. B. No. E(S)1-60 C.P.C./LE/3 of 20.09.60)

When commuted leave is granted, twice the amount of such leave shall be debited against the half pay leave due.

Commuted Leave for approved Course of Study :
L.H.A.P. upto a maximum of 180 days shall be allowed to be commuted during entire service where such leave is utilized for an approved course of study i.e. a course which is certified to be in the public interest by the leave sanctioning authority. This provision is effective from 01.11.73 and is applicable to all Railway servants. (R.B. No. PC-III/73/LE/1 of 13.05.74 and 15.01.75)(N.R. S.N. 6035).

Any kind of leave i.e. LAP, Commuted Leave, L.H.A.P. etc. under C.P.C. Leave Rules may be granted in combination with or in continuity of any kind of leave except CL/SpCL. (R.B. No. E(S)62 CPC/LE/8 dtd. 28.01.63)

LEAVE NOT DUE

Except in case of leave preparatory to retirement, a permanent Railway employee may be granted "Leave not due" on half average pay for a period not exceeding 360 days in all, out of which not more than 90 days at a time and 180 days in all, otherwise than on medical grounds. This leave is granted in advance of its being earned and is debited against the leave on half average pay to be earned on resumption of duty.

Such leave is granted only in exceptional circumstances where there are reasonable prospects of the employee returning to duty and earning the leave (740-R). "Leave not due" cannot be granted retrospectively when the employee has resumed duty. If any employee who has been granted "Leave not due" intends to retire voluntarily either during such leave or on its expiry, the "Leave not due" granted to him shall be cancelled and his retirement shall take effect from the date of commencement of such leave.

If he retires voluntarily he will be called upon to refund the leave salary already drawn. But if the retirement is on account of ill health, no refund will be insisted upon (R.B. No. E(S)1-61/CPC/LE/II of 14.08.62) If the employee is retired compulsorily, the leave salary in respect of "Leave not due" will not be recovered . (R. B. No. E9S 67 CPC/LE/1 of 14.10.76) (N.R. S.N. 6653).

Even if the employee retires voluntarily or resigns on his own volition on other than medical grounds after returning to duty, he has to refund the leave salary drawn to the extent it has not been subsequently wiped off (R.B. No. E. (S) 65 CPC/LE/5 of 24.09.65). No recovery of amount of leave salary of should be made if the retirement of the Railway servant who has joined duty after availing himself of "Leave not due" is by reasons of ill health, incapacitating the Railway servant for further service or in the event of his death. (R.B. No. E(S) 67/CPC/LE/1 of 23.11.72) (N.R. S.N. 5791).

No recovery of leave salary shall be made if the employee has not subsequently earned half pay leave due to compulsory retirement on disciplinary grounds or due to premature retirement CRB No. E (S) 67(CPC/LE/1 of 4.9.81 (N.R. S. N. 7829).

Temporary Railway Servants :

Leave not due may be granted to temporary Railway servants also, who are suffering from T.B. , Leprosy, Cancer or Mental illness, for a period not exceeding 360 days during the entire service subject to fulfillment of the following conditions:

(a) That the Railway servant has put in at least one year's service.
(b) That the post from which the Railway servant proceeds on leave is likely to last till his return to duty.
(c) That request for grant of leave is supported by a medical certificate
(d) That the competent authority is satisfied that there is a reasonable prospect of the Railway servant returning to duty on its expiry and earning an equal amount of half average pay leave there after and:
(e) That "leave not due" shall be limited to the half average pay leave, he is likely to earn thereafter and shall be debited against such half average pay leave (R.B.No. E(D&A)1-76/CPC/LE/3 of 11.03.77(N.R. S.N. 6734).

On the representation of A.I.R.F., the Railway Board has decided that while it is not possible to relax the aforesaid conditions, yet individual cases of hardship may be considered on merit and deserving cases referred to the Board for orders. (R.B. No. E(P&A) I-78/FE-2/5 of 6.7.81) (N.R., S.N. 7891)

Note : In case where "leave not due" cannot be granted, the grant of extraordinary leave will be irregular unless this is specifically applied for by the employee in writing. There is no objection to conversion of a leave as "leave not due" with retrospective effect if the authority so desires only in such cases where extraordinary leave or leave of any other kind was granted initially and not in respect of periods of unauthorized absence

(R.B. No. E (G) 64-LE28 25.09.65 and E (G) 72 LE 2-21 of 29.8.73) (N.R. S.N. 3197 & 5989)

EXTRAORDINARY LEAVE

(a) As is apparent from the name itself, extraordinary leave is granted to an employee when no other kind of leave i.e. L.A.P. or L.H.A.P. is due to him. It may be granted to an employee who specifically applies for this leave although some other leave is admissible to him;

(b) No leave salary is admissible to the employee during such leave and this leave is not debited to the leave account.

(c) This leave can be granted in continuation of other leave except casual leave;

(d) Period of absence without leave can also be commuted to extra-ordinary leave.

(e) Maximum period of extra ordinary leave that can be granted at a time is 5 years inclusive of other leave, if any;

(f) Temporary employee may be granted extraordinary leave for a period not exceeding 3 months at a time without a medical certificate and upto 6 months with medical certificate of common ailments;

(g) In case a temporary employee is suffering from T.B. or Leprosy, 18 months' extraordinary leave inclusive of any leave on average pay, if due, can be granted to him.

Note : The extraordinary leave can be granted to temporary employees only if they have put in a minimum of one year' continuous service.
It has been clarified by the Railway Board that two spells of extraordinary leave if intervened by any other kind of leave are to be treated as one continuous spell of extraordinary leave for the purpose of Rule 732-R-I read with rule 742-R-I (R.B. No. E(S) 67 CPC/LE-1 of 5.10.74) (N.R. S.N. 6216)

(h) The competent authority has discretion to allow extraordinary leave, to count for pension.

(i) if it is taken on grounds of medical certificate

(ii) if it is taken due to inability of the pension concerned to join or rejoin duty to civil commotion or a natural calamity provided that he has no other type of leave to his credit, and

(iii) if it is taken for prosecuting higher scientific and technical studies.

(i) In the matter of increment also, according to Rule 2022 (B) RII, extraordinary leave taken on account of illness covered by a medical certificate counts for increment. Further in accordance with item 8 in Appendix XXXII-R-II, powers have been delegated to competent authorities to make substantive appointment to the post which the Railway servant holds, to allow at their discretion the counting of extraordinary leave in case where extraordinary leave is taken for cause beyond the Railway servant's control (R.B. No. F(E)II 71 PN/1/28 of 7.3.72) (N.R. S.N.

5605)

"Dies-non" The dies-non" period is taken as non-existing in the Railway servants career. Such period is neither counted as service nor it is constituted as break in service. When a period is treated as " dies-non" it gives the concerned Railway servant continuity of service prior to and after the break for all purposes and period of break is not counted for any purpose.

SPECIAL DISABILITY LEAVE

(a) The leave is granted to a Railway employee whether temporary or permanent, who is disabled by injury inflicted either intentionally by someone or caused during the course of performance of his official duties.
(b) This leave is admissible only when the injury manifests itself within three months of the due of occurrence.
(c) The period of leave that can be granted shall be such as is certified by the Authorised Medical Officer subject to a maximum of 24 months in respect of one disability.
(d) Disability leave can be combined with any other kind of leave.
(e) The leave salary admissible during such leave will be average pay for the first four months and half-average pay for the remaining period.

(f) Special disability leave (accidental) may be granted to a Railway servant who is disabled by injury accidentally caused or by illness incurred in the performance of any duty which has the effect of increasing his liability of illness. The period of absence from duty may be covered in part by leave under this rule or in part by the other leave, provided the leave on average pay will be less than the amount of L.A.P. as mentioned above.

The General Manager may grant this leave to both Gazetted and non-gazetted staff, subject to report at the end of each year to the Board in respect of Special Disability/Accident. (R. B. No. F(X) 11-62-PW/4/3 of 9.3.64)

STUDY LEAVE

(a) It is granted to a Railway employee for the purpose of :
(i) Higher studies or undergoing training in professional and technical subjects, having direct and close connection with the sphere of his duties;

(ii) A study capable of widening one's mind in manner likely to improve his abilities as Railway servant;

(iii) Studies connected with the frame work or background of public administration;
(iv) A course of training or study tour, certified to be advantageous to Government from the point of view of public interest and related to

the duties of Railway servant;

(v) Railway employees on the staff side of National Council under the J.C.M. Scheme, may be granted study leave by Railway Board, on the usual terms and conditions, if they secure admission for Management Training Courses in recognized institution in foreign countries. (R. B. No. F(E)70 LE 9/3 of 18.11.70) (N.R., S. N. 5155).

(b) Study leave is not granted for academic or literary pursuits.

(c) Study leave should be liberally granted particular to scientific, technical and administrative staff.

(d) If such leave is for study outside India, the permission of Finance Ministry, Government of India should be obtained and release of necessary foreign exchange asked for.

(e) This leave can be granted for a maximum period of 24 months in the entire service of Railwayman and upto 12 months at any one time.

(f) During this leave availed outside India, the employee shall get salary at half average pay and study allowance at the current prescribed rates per day.
For courses of study in India, the leave salary payable during study leave shall be equal to the pay (without allowance) that the employee draws while on duty immediately before proceeding on such leave. No study allowance shall be paid during the period. The amount, if any, received by a Railway servant during the period of study leave as scholarship or stipend or remuneration in respect of any part time employment which used to be adjusted against study allowance under the existing rules shall hereafter be adjusted against the said leave salary subject to the condition that the leave salary shall not be reduced to an amount less than payable as leave salary during half pay leave (R. B. No. PCIII/73/LF/1 of 15.1.75) (N.R., S.N. 6035 A).

(g) On return from the study leave, the employee has no option to resign or retire for three years. For this purpose he will have to execute a bond before proceeding on leave. If the employee resigns within this period , otherwise than on medical ground, he will be required to refund

(i) the actual amount of leave salary, study allowance, cost of fees, travelling and other expenses, if any, incurred by the Railway and

(ii) the actual amount, if any, of the cost incurred by the other agencies e.g. foreign Government, foundations, trust etc. in connection with the course of study together with interest thereon at Government rates for the time being in force Government loan from the date of demand before his resignation is accepted or permission to retire is granted. (R.B. No. F(E)III/83/LE-1/9 of 16.10.85)(N.R. S.N. 8871)

(h) Instances have come to the notice of the Railway Board where officers at the very beginning of their career on the Railways have gone abroad on study leave for 3 to 5 years and on return, had to be considered for rapid promotion from Junior Scale to Senior Scale and JA Grade without their having sufficient working experience on the Railways. In order to avoid such situations and to ensure that young officers gain sufficient working experience at the start of their career, the Board has decided that study leave abroad should not be granted to junior and senior scale Group "A" officers (including IRMS). Accordingly, no cases of study leave abroad pertaining to such officers should be recommended to Board for sanction. (R. B. No. F (E) III/92/LE-1/5 dated 25.6.92(N. R., S.N. 10651).

(i) It has been decided by the Government to increase the limit of Study Leave combined with other kinds of leave with leave salary excluding Extraordinary Leave from 28 months to 36 months to Railway employees undergoing course of study leading to the award of Ph.D. degree, provided the study as well as the University/Institution are approved by the controlling authority and subject to fulfillment of various conditions regarding grant of Study Leave. (R.B. No. F(E)III/89/LE-1/5 dated 20.11.90). This provision is also applicable to Doctors pursuing P. G. Course in the field of medicine w.e.f. the academic year of 1993 (R.B. No. F(E)III/95/IE 1/1 dated 6.8.97) (N.R. S.N. 11445).

(j) Study Leave will count as service for promotion and also for earned leave.

(k) Study Leave to gazetted staff may be granted by the Railway Board. The General Manager may grant such leave to non-gazetted staff provided the course and institution to be attended have been recognized by general or specific orders of the Railway Board (R.B. No/ F(E) 63 LE9(1) of 26.6.63 and F(E)57/SR (1) of 30.12.60).

(l) Study Leave shall not be granted to Railway servants who are on deputation to other departments and vice-versa (R.B. No. F (E) 66 LE 9/1 of 18.7.66) (N.R. S.N 3556).

(m) Study Leave cannot be granted to those with less than 5 years service and to those who are due to retire within 3 years of the return from study leave.

A Medical Officer may be granted study leave for prosecuting a course of post-graduate study in Medical Science in India, if the Head of the Medical Department certifies to the effect that such study shall be valuable in increasing the efficiency of such Medical Officer in the performance of his duties. For post-graduate study in medical science abroad, study leave shall be granted if the Director General of Railway Health Services certifies that such study shall be valuable in increasing the efficiency of such Medical Officer for the purposes of his duty.

The General Managers while considering the proposal for grant of study leave shall satisfy themselves that more than the required number of Specialists are not already available and that the work can be managed without substitute during the absence of the officer who had been granted

study leave and that not more than 5 doctors on each of the Central, Eastern, Northern, Southern, South Central, South Eastern and Western Railways and 3 doctors each on North Eastern and North-East-Frontier Railways are granted study leave in a year. The production units may however grant study leave to not more than one medical officer in a year (R.B. No. F(E)III/89/LE-1/5 dt. 19.2.90) (N.R. S.N. 10101).

The Railway Board has decided that Study Leave will be granted only in those cases outside India for super-specialization in subjects or courses leading to Ph. D which are of advantage to the Railways. Such cases can be processed and sanction granted with the personal approval of the General Manager, subject to the following instructions.

(i) Leave abroad should not be granted to Junior Scale/Senior Scale officers including IRMS.
(ii) The subject of study of super-specialization or the course leading to Ph D should be directly related to the sphere of duty and certified as such by the Head of Department. The Head of Department will also certify that such study will enable the officer to keep abreast with the modern developments and improve his technical standards, which will substantially benefit the Railways.
(iii) The grant of study leave will not involve any grant of study allowance which is in foreign exchange.
(iv) The study leave out of India shall not be granted for prosecution of studies on subject/courses for which adequate facilities exists in India or under any of the schemes administered by the Department of Economic Affairs of Ministry of Finance or by the Ministry of Education (R.B. No. F (E) III/92/LE/5 dated 7.10.1994 (R.B. E. No. 82/94).

MATERNITY LEAVE

(a) Maternity Leave may be granted to female Railway employees for a period of 180 days.
(b) This leave can also be granted irrespective of number of surviving children in case of miscarriage or abortion for a period not exceeding 45 days during entire service..
(c) Such leave is not debited to the leave account of the employees.
(d) Leave of any other kind including commuted leave may also be granted in continuation of maternity leave, upto a maximum of two years without production of medical certificate.
Further leave in continuation may be granted on producing medical certificate for the illness of female employee or newly born child (R.B. No. F (E) III/76/LE/1/1 of 24.10.78) (N.R. S.N. 7154).

(e) A temporary female employee is also entitled to this privilege.

(f) Female casual labourers with temporary status are also entitled to all benefits of maternity leave irrespective of length of temporary status service. (R. B. No. E(P&A) I/90/CPC/LE/9 dated 25.6.91)(N.R. S.N.

10476) (R.B. No. E (NG) II/77/CL/1 of 3.4.77 (N.R. S.N. 6770)

(g) Maternity leave may be granted to ad-hoc female employees on the basis of medical certificate, provided their appointment is likely to continue till the period of leave expires and they are likely to be retained in service there after (R.B. No. E(NG)II/75/SB/7 of 1.1.79 (N.R.S.N. 7243 A).

(h) Maternity leave may not be allowed to women employees already having two children.

(i) Maternity leave is admissible even to unmarried female Railway Servants (R.B. No. E (P&A) I-86/CPC/LE-7 of 3.7.86) (N.R. S.N. 9011).

(k) Maternity leave on account of miscarriage/abortion restricted to 45 days can be granted in the entire service career of a female employee. In calculating number of days of maternity leave, such maternity leave availed by a female employee shall not be taken into account (R.B. No. E (P&A)I-94/CPC/LE-6 of 12.9.94) (R. B. E. No. 70/94)

CHILD CARE LEAVE

Female Govt. Employees having minor children may be granted Child Care Leave (CCL) by an authority competent to grant leave, for a maximum period of two years (i.e. 730 days) during their entire service period for taking care of upto two children upto 18 years (disable child – no age limit) of their age whether for rearing or to look after any of their needs like examination, sickness etc. subject to the following conditions:

(i) During the period of such leave, the female employees shall be paid leave salary equal to the pay drawn immediately before proceeding on leave.
(ii) It may not be granted in more than 3 (three) spells in a calendar year.
(iii) It may not be granted for less than 5 days in a spell.
(iv) Child Care Leave shall not be debited against the leave account.
(v) It may be combined with leave of the other kind due and admissible.
(vi) Child Care Leave should not ordinarily be granted during the probation period except in case of certain extreme situation where the leave sanctioning authority is fully satisfied about.
(vii) Under exceptional circumstances, an employee can be allowed to leave India or Headquarter.

PATERNITY LEAVE

A male Railway servant (including an apprentice) with less than two surviving children may be granted paternity leave for a period of 15 days during the confinement of his wife i.e. with in 180 days from the date of delivery.. During the period of such leave, he shall be paid leave salary equal to the pay drawn immediately before proceeding on leave. The paternity leave shall not be debited against the Leave Account and may be combined with any other kind of leave. These orders take effect from 7.10.1997 (R..B. No. E (P&A)/I-

97/TPT/LE-6, dated 10.11.1997.).

HOSPITAL LEAVE

(a) Hospital leave is granted to only Non-gazetted Railway when they are under medical treatment for injuries sustained on duty. The fact that the injuries were the result of carelessness on the part of the employee is immaterial.

(b) The Railway Board has decided not to grant any general relaxation in the provisions of Hospital leave as incorporated in Rule 554-F-I which restricted grant of Hospital leave on leave salary (i) equal to the leave salary while on Average Pay for the first 120 days of any period of such leave, and (ii) equal to leave salary during half-pay leave for the remaining period of any such leave. The Railway Board has, however, decided that individual cases meriting sanction of Hospital leave beyond a period of 120 days on leave salary equal to leave on average pay may be referred to the Railway Board with the personal recommendations of the General Manager for relaxation of the Rule on case-to-case basis (R.B. No. E(P&A)I-89/JCM/DC-5 dated 21.8.1991) (R.B.E. No. 148/91

In partial amendment, the Railway Board has decided that the Divisional Railway Managers/Chief Workshop Engineers are Empowered to relax the provisions of Rule 554-R.1. (1985 Edition) in individual cases, meriting sanction of Hospital leave beyond a period of 120days on leave salary equal to leave on average pay, subject to such cases being reviewed by the Medical Superintendents and concurred in by Senior Divisional Accounts Officer/Associate Accounts Officer. (R.B. No. E (P&A)-I-89/JCM/DC-5 dated 14.1.1993).

It has further been decided that the Heads of Non-divisional units, such as Workshops, Stores, Depots, Zonal Training Centres etc. in the Junior Administrative Grade/Selection Grade are also empowered to sanction Hospital Leave beyond a period of 120 days in relaxation of the provisions of Rule 554. R-1, (1985 Edition) in individual cases meriting sanction of Hospital leave beyond 120 days on leave salary equal to leave on average pay (R. B. No. E (P&A) I-89/JCM/DC-5 dated 22.6.1993 (R.B.E. No. 97/93).

(d) It can be combined with any other leave provided the total leave does not exceed 28 months.

(e) Officiating arrangement can be made during the currency of Hospital leave.

(f) Hospital leave is not admissible to casual labour, but is admissible to an apprentice (R.B. No. E-54-LE 5/1/3 of 19.11.55) as leave and not duty (R.B. No. E(NG)60 P. M./1-31 of 23.5.61)

(g) In case of Railway servant to whom Workmen's Compensation Act, 1923 applies, the amount of leave salary payable during Hospital leave shall be reduced by the amount of compensation payable as half monthly payment. When a disablement considered at first as temporary, proves to

be permanent and compensation is payable, the leave salary shall be restored to the full amount admissible under the rule.

(h) Hospital leave is not admissible to an employee from the date he is declared permanently unfit for service.

(i) The authority granting hospital leave may decide to grant half pay leave in the following cases.

(i) When the employee does not co-operate with his medical attendant and his progress has, therefore, been retarded ; and

(ii) When there is an element of negligence of disregard of rules on the part of the employee, which has contributed to the accident involving injury or illness of the employees.

(j) A Railway servant whose limb has to be amputated as a result of an injury on duty, the period from the date of healing of the wound to the date of fixing the artificial limb plus journey time till he is fit for duty should be treated as Hospital leave. (R.B. No. F (E) 61-LE-4/1 of 28.10.61) This rule will also apply when such staff has to remain absent from duty for the replacement of artificial limb or for obtaining a spare limb. (R.B. No. 64/H/1/16 of 26/27.10.64)

CASUAL LEAVE

(a) Casual leave is granted for unforeseen casualties or for private and personal work.

(b) It is not considered as absence from duty, as such there is no reduction of privilege while on casual leave.

(c) Total amount of casual leave that can be granted to Railway servants who are eligible to avail themselves of all public holidays and workshop paid holidays, is limited to 8 days in a calendar year. The staff whose nature of duties are such as not to permit them to enjoy holidays are entitled to 10 days casual leave in a year. (R. B. No. E(G) 98 IE, 1.1 PC-V/36 dated 20.2.98)(N.R. S.N. 11466)

(d) Public Holidays including Sundays, closed Saturday and weekly of falling, within a spell of casual leave will not count as casual leave (R.B. No PC-60/LE-7/1 of 23.4.60 and 24.8.60). Therefore, the total period of absence may exceed the total amount of casual leave admissible (R. B. No. E(G)97LE1-5 of 5.8.67.

(e) Casual leave including compensatory casual leave in lieu of attendance on Sunday cannot be combined with any other kind of earned leave except quarantine leave. (R.B. No. E(G) 59-LE 1-5 of 31.11.59).

(f) Casual leave if not availed during the calendar year will lapse with the close of the year and cannot be carried forward.

(g) Full amount of casual leave can be granted to an employee who joins service in the second half of the year.

(h) The school staff is also entitled to casual leave just as other Railway staff but vacation cannot be affixed or prefixed to such leave (R.B. No. E 55 LE2/74/3 of 27.7.55.

(i) The Workshop staff will also be entitled to 8 days casual leave in a year

(R.B. No. E(G) 70LE 1/15 of 2.2.72 (N.R. S.N. 5585).

Certain other categories of staff in Workshops not strictly covered by the term "Workshop Staff and Staff in Printing Presses and Stores Depots" should also be granted 8 days casual leave as well as 15 paid holidays (R.B. No. E(G) 70 LE I-5 of 22.4.72)(N.R. S.N. 5637).

Apprentice Mechanics under training in Railway Workshops and also other Apprentices (who are not governed by the Apprentices Act 1961) attached to the Workshop and Printing Presses, who were getting only 15 paid holidays will, in addition be entitled to the casual leave of 8 days in a calendar year. (R.B. No. E (G) 70 LE 1-5 of 22.6.73)(N.R. S.N. 5932).

(j) On the day when there are two periods of the working in the workshop absence during either of the two periods will be treated as casual leave for half a day and if there is only one period working on that day absence during that period will be treated as casual leave for a day (R.B. No. E (G) 72 LE 2/41 of 10.4.73) (N.R. S.N. 5882).

(k) Half day's casual leave may also be granted and can be combined with full day's casual leave. For grant of half day's casual leave to office staff, the lunch interval is to be taken as the dividing line.

Since the grant of half day's casual leave is permissible, the staff should not attend the office late or leave the office earlier without obtaining half day's leave.

Late arrival in office may, however, be condoned by the officer-in-charge of the section upto the extent of one hour on not more than two occasions in a month, provided he is satisfied that it is due to unavoidable reasons like illness in the family, late running of train/bus etc.

For each late attendance on the 3rd and successive occasions in a month half day's casual leave should be debited to the casual leave account of the employee. When casual leave is not due to the employee disciplinary action may be taken against him (R.B. No. E (G) 65 LE 2-29 of 6.11.65 and E(G) 66 LE-2-32 of 12.6.67).

(l) If a Railway servant has availed half day's casual leave in the afternoon and had no casual leave due to be credit to cover his absence on the following days because of his sickness or other compelling circumstances, he may be permitted as an exception to the general rule, to combine that half day's casual leave with other regular leave granted to cover his absence for the following day. To avoid this, employee should satisfy himself that he would be in a position to attend office on the next working day before he avails half day's leave (R. B. No. E(G) 65 LE-2-29 of 25.6.66).

If an employee who has no casual leave to his credit, comes late without sufficient justification and the administrative authority concerned, is not prepared to condone the late coming but does not, at the same propose to take disciplinary action, it may inform the employee concerned that he will be treated as on unauthorized absence for the day on which he has come late and leave it to the official himself either to the consequence of

unauthorized absence or to apply for earned leave or any other kind of leave due and admissible for the day, as he may choose. In case he applies for earned leave or any other kind of leave admissible for the entire day, the same may be sanctioned by the competent authority. (R.B. No. E (G) 82-LE-1-10 20.9.82) (N.R. S.N. 8176).

It has been further clarified by Railway Board that the above orders are not applicable to Railway employee who are governed by the provisions of Payment of Wages Act and industrial Dispute Act, (R.B. No. E(G) 82-LE-1/10 of 14.3.83 (N.R. S.N. 8276).

(m) The G.M. may delegate powers to Senior Supervisory staff in Level-6 (erstwhile grade of RS. 5000-8000(R.S.)) and above to sanction casual and earned leave upto 15 days to Class-III and Class-IV (Group "C" and "D" staff working under them. The G.Ms. may also delegate these powers to Supervisors in grades before RS. 5000-8000 (R.S.) also (R.B. No. E(G) 70 LE 2 –5 of 19.3.71) (N.R. S.N. 5340), These instructions will continue on permanent basis (R.B. No. E(G) 76 LE 2-40 of 4.11.78) (N.R. S.N. 7168).

SPECIAL CASUAL LEAVE

(a) The special casual leave can be granted in the following cases:

(i) Employees, who are Boy scouts or Rover Scouts for attending camps or rallies or when engaged on scouting duties. Special casual leave in respect of leader trainer/assistant leader trainers whose services are utilized for imparting training to scouts/guides can be granted leave upto the extent of 45 days in a calendar year.

Special casual leave beyond this limit can be granted with the approval of the Railway Board (R.B. No. E (W) 86/WE6-3 of 4.12.86) (N.R. S.N. 9151-A).

(ii) Employees participating in well-established athletic contest and sports tournaments, mountaineering expeditions may also be treated as sports activity.

(iii) Employees attending courts as jurors or assessors with the permission of executive officer.

(iv) For donation of blood for one day.

(v) For appearing in Hindi Examination conducted by Home Ministry.

(vi) For attending meeting with officers as representatives of recognized unions.

(vii) For appearing as defence counsels in departmental enquiries.

(viii) Special casual leave is also admissible to the Railway servants who are members, delegates of members, managing committee members and office bearers of the Co-operative Societies when they have to remain absent from their duties to attend the meetings. Members elected and nominated to sub-committees may also be granted special casual leave (R.B. No. E(G) 64 LE1-

10 of 17.6.66 and 16.11.70) (S.N. 5199).

(ix) Railway servants participating in various meetings of Kendriya Sachivalaya Hindi Parishad may be granted special casual leave to the extent as mentioned in R.B. Letter No. E (G) 76 LE/24 of 17.12.76 (N.R. S.N. 6696).

(x) For attending coaching camps organized by the Railway Sports Control Board and coaching camps organized by National Sports Federation to which participants are sponsored by Railway Sports Control Board (R.B. No. E (W) 72-Spl-4 of 24.1.81) (N.R. S.N. 5781).

Participation by Railway teams sponsored by Zonal Railways in All India major tournaments may be considered as participation in event of national importance for granting special casual leave (R. B. No. E (W) 72-Spl. 1-4 of 3.7.79(N.R. S.N. 7333)

The Railway employees who are NIS (Patiala) coaches when deputed for coaching from one Railway to another Railway may be treated on duty for a limited period of 15 days at a stretch. The total period for which a Railway employee may be so deputed in one calendar year shall not exceed 30 days. Such deputation of a Railway employee who is NIS (Patiala) coach, from Railway to another Railway shall be authorised only Railway Sports Control Board in Railway Ministry.

Railway sportsmen participating in National Championships may be treated as on duty for the period of participation in the events including the period of journey to and from the place of the events.

Period of absence of the Railway employees who are nominated as coaches or managers or assistant managers of the Indian Railway teams participating in the National Championship in the various sports discipline held from time to time be treated as on duty as follows:

(a) Coaches – 15 days prior to the commencement of the National Championship concerned for imparting training to Railway sportsmen in a coaching camp when organized.

(b) Managers or Asst. Managers- Three days prior to the commencement or during the coaching camp for one of the officials.

Note : In both the cases, prescribed period excludes journey time for outstation coaching camp (R. B. No. E(W) 72ST-4 of 2.8.84)(N.R. S.N. 8605).

Railway sportsmen participating in training camps for a period not exceeding 30 days prior to the National Championships may also be treated as on duty in addition to the period of participation in the actual events as indicated in the foregoing para (R.B. No. E(W) 72 Spl/1-4 of 24.1.81)(N.R. S.N. 7762 and S.N. 8724).

Participation by Railway teams sponsored by Zonal Railways in All-India

major tournaments may also be considered as participation in events of National importance for granting special casual leave.(R. B. No. E (W) 72/Spl/1-4 of 3.7.79 (N. R. S. N. 7333).

The Railway Administration may sanction special casual leave upto 30 days to sportsmen for participation in "ordinary sporting events" and upto 90 days for participation in "events of national and international importance" exclusively. These limits of 30 days /90 days will have to be applied for ordinary /national and international events separately and they should not be clubbed. In other words, it is not the intention to apply an overall limit of 120 days for participation in ordinary events and national and international events.

The existing ceiling limit of 30 days special casual leave for National Tournaments in which the Railwaymen participate as members of State team, shall stand increased to 45 days for the aforesaid purpose only (R. B. No. E (W) 85/SPI-3 of 11.6.85) (N.R. S.N. 8755).

The General Mangers have been given full powers to sanction special casual leave for such periods as considered necessary without any upper limit, to Railway employees sponsored by R.S.C.B. for participation in sporting " events of national and international importance " exclusively. (R. B. No. E (W) 81/501/3 of 19.9.81) (N.R. S.N. 7915).

Note :

(1) Special casual leave granted for participation in sporting events/tournaments may be combined with ordinary casual leave or regular leave. (R. B. No. E (W) 60 SPI-26 of 30.1.61)

Special casual leave granted to Boy scouts or Rover scout for attending camps or rallies or when engaged on scouting duties may be permitted to be combined with casual leave or recorded leave when sanctioned on scouting duties. However, when regular leave is granted in combination with special casual leave, casual leave will not be granted in combination. (R. B.No. E (W) 80/6-2 of 5.1.83) (N.R.S.N. 8378).

The Railway employees who are granted special casual leave for scouting duties and suffer injuries while on such special casual leave for scouting /guiding activities and are hospitalized, the period during the treatment of such injuries should be regularized as special casual leave subject to the overall limit of special casual leave of 30 days in a calendar year. (R. B. No. E (W) 89/SPL-4 OF 12.8.83 (N.R. S.N.8378).

(2) Sundays and holidays falling within a spell of special casual leave granted to Railway servants for participation in sports and hourly permission granted to them for practice session should be excluded from the total number of days of special casual leave admissible to the employees concerned (R. B. No. E (W) 67 SP 1/15 of 5.10.68) (N. R. S.N/ 4482).

(3) When Railway employees are spared for attending to practice session of

sports, they may be allowed to remain absent from duty with prior permission. (R. B. No. E(W)67 SP 1/15 of 24.7.69 (N.R. S.N. 4848)

(4) Apprentices undergoing training in the Railway Technical Schedule under Apprentices Act, 1961 should not be granted special casual leave on sports account (R. B. No. E (W) 69 Spl. 7 of 3.9.71) (N. R. S.N. 5435)

(xi) Special casual leave may be granted to staff on their absence due to Bundh, Curfew, other disturbances, etc. The period of absence spent at outstations by Railway employees who proceeded on duty or on leave and could not return to the headquarters due to dislocation of train services on account of floods, may also be treated as special casual leave.

Special casual leave in cases mentioned above may be granted by the Head of the Department and all such cases should be reported to the Railway Board (R. B. No. E (LR)-II-79 ST-2/2 of 24.8.79) (N. R. S.N. 7392).

These orders do not cover the cases when the Railway employees could not reach their office/duty place because of disorganization of train service caused due to train accidents/floods, as a result of heavy rain etc. Such cases should be referred to the Railway Board before regularizing the absence in such cases as a special Casual Leave. (R, B. No. E(L.R) II 79-ST-2-1 of 1.11.81) (N. R. S. N. 7933).

On reconsideration, the Board have clarified that in such cases also the Railway Administration can grant special casual leave but continue to send a report to them. The competent authority should be satisfied that in all such cases no other mode of transport was available which could have been availed of by the employees to reach their place of duty. In case State Transport or other private transport was available, it would not be justified to grant special casual leave. In such cases, the competent authority should consider each case on merits and decide the same under their powers (R. B. No. E (LR) II 81/ST-2-1 of 28.4.82) (N. R. S. N. 8049)

(xii) The period of absence from duty of Railway employees participating in Trekking expedition may also be regulated by the grant of special casual leave not exceeding 30 days in a calendar year provided the expeditions has the approval of Indian Mountaineering Foundation and the period of 30 days special casual leave is not exceeded (R. B. No. E(W)85/Spl-4 of 16.7.85) (N. R. S. N. 8799)

(xiii) Special casual leave not exceeding fourteen working days in admissible to married female Railway servants who undergo tubectomy operation whether puerperal or non-puerperal. 14 days special casual leave is again admissible if a female employee undergoes the operation for the second time in the event of failure of tubectomy . (R. B. No. 70/H/FW/29/1 of 23.10.70).

(xiv) One day's special casual leave is admissible to married female Railway servants who have I. U. C. D. insertion. (R. B. No. 67/H/FP/6/1 of 16.3.67). Special casual leave for one day may be granted for re-insertion of I.U.C.D. also. (R. B. No. 78/H/FW/9/5 of 11.6.81) (N. R. S.N. 7854).

(xv) Special casual leave not exceeding six working days is admissible to those Railway servants who undergo Vasectomy operation. (R. B. No. 77/H/FW/29/75 of 2.2.80 (N. R. S. N. 6950).

(xvi) Special casual leave upto 7 days to male Railway servant whose wife undergoes a puerperal tubectomy for the first time or second time due to failure of the last operation.

(xvii) Additional special casual leave for treatment of post-vasectomy and post-tubectomy complications like Haematoma and sepsis. In addition to six days and 14 days ordinarily admissible may be granted by Railway Administration on production of a certificate from the concerned hospital authorities/authorised medical attendant where he/she was hospitalized for the post operational complications (R. B. No.77/H/FW/9/5 of 2.2.78) (N. R. S. N. 6950)(R.B. No. 75/H/FP/9/2 of 31-3-76 (N. R. S. N. 6516) and (R. B. No. 71(H) FP/32/2 of 26-8-71) (N. R. S. N. 5422).

Special casual leave in case of post-vasecutomy/tubectomy operation complications not requiring hospitalization should be restricted in 7/14 working days respectively as the period of special casual leave in such cases cannot be unlimited (R. B. No. 78/H/(FW) 9/5 of 11-6-81) 9n. R. S. N. 7854).

(xviii) Special casual leave is also admissible to the Government servants (mentioned below) who undergo operation for recanalisation :

(a) who are unmarried, or
(b) who have less than two children, or
(c) who desire for substantial reasons, e.g., a person who has lost all male children or female children after vasectomy/tubectomy operation peformed.

In such cases special casual leave upto a period of 21 days or actual period of hospitalization as certified by the authorised medical attendant, whichever is less may be granted. In addition, the minimum journey period actually required and spent for to and from journey performed for undergoing his operation (R, B. No. 78/H/FW/1Pt. I of 1-7-78) (N. R. S. N. 7076).

(xix) Female Government employees who undergo salapingectorny operation after medical termination of pregnancy (MTP) may be granted special casual leave not exceeding 14 days.

(xx) Male Government employees whose wives undergo tubectomy and salapingectomy operation after medical termination of pregnancy may be granted special casual leave up to 7 days subject to the production of

medical certificate stating that their wives have undergone tubectomy /salapingectomy operation after M.T.P. It shall not be necessary to state in the certificate that the presence of Central Government employee is required to look after the wife under her convalescence.

Note :

(1) Special casual leave connected with sterilization and recanalisation under Female Welfare Programme may be suffixed as well as prefixed to regular leave on casual leave, However, special casual leave should not be allowed to be prefixed both to regular leave and casual leave. Special casual leave should either be prefixed to regular or to casual leave but not both. Similarly, special casual leave may be suffixed either to regular leave or to casual leave and not both. The intervening holidays and/or Sundays may be prefixed/suffixed to regular leave, as the case may be (R. B. No. 78/H(FW)9/5 of 11.6.81) (N. R. S. N. 7854).

(2) Daily rated staff (casual labour) on the Railway and Projects who are in employments for at least 3 months continuously and are likely to remain in service for 3 months after the operation are entitled to wages for the periods mentioned in the above rules, if they undergo sterilization on I.U.D. insertion (R. B. No. 66/H/FW/6/74 of 15.3.72).

(3) Special casual leave may also be granted to the eligible canteen employees for promoting small family norms under the above (R. B. No.)

ABSENCE OF SPORTSMEN TREATED AS DUTY.

(1) The question of treating the period of participation of Railway Sports persons and officials in Inter Railway Championship organized under the auspices of Railway Sports Control Board has been under consideration of the Board. After careful deliberation, the Board have decided that participation of specified number of team, including officials, sports persons in various Inter Railway championship in team event or individual events and technical officials be treated as duty.

(2) While the sports persons, who broadly qualify for this facility have been included in the List of Annexure “A” , RSCB will circulate the particulars of such teams/sports persons, technical officials before organization of the various Inter Railway Tournaments).

(3) The following safeguards must be observed with a view to preventing any misuse of this facility and their compliance ensured:-

(i) Only actual participation days of the Inter-Railway Championship plus to and fro journey period is to period is to be treated as “on duty”

(ii) Preparatory camps, prior to participation in Inter Railway Tournament will continue to remain as on SCL.

(iii) Actual duration of various Inter-Railway Tournaments will not exceed on period specified in Annexure “B”

(iv) In the team games, the maximum number of members and the officials accompanying a team will be as specified in Annexure “B”.

(v) Number of referees , umpires, technical officials required for proper conduct of the Inter-Railway Tournaments, will be specified in Annexure “B”.

(4) The entitlement of these sports persons to SCL, will automatically get curtailed with Inter-Railway participation being treated as “Duty”.

(5) These orders take effect from 1.9.1991. (R. B. No. E (W) 89/Spl-1 dtd. 4./9.10.91) (N. R. S. N. 10614).

Chapter-8

THE RAILWAY SERVANTS (PASS)RULES 1986

The Committee on Subordinate Legislation-VI Lok Sabha in their 14th Report recommended that the existing instructions regarding issue of Passes and Privilege Ticket Orders to railway servants should be replaced by statutory rules so that these instructions will acquire legal authority.

In compliance of the above said recommendation of the Committee on Subordinate Legislation, the " Railway Servants Pass Rules -1986" have been framed. These rules together with schedules were brought out as publication (First edition) in August 1986. Additions alternations/ modifications to these Rules made subsequently, have been suitably incorporated and brought out as a Revised edition (Second edition)".

In exercise of the powers conferred by the proviso to Article 309 of the Constitution, the President hereby makes the following Rules, regulating the issue of Passes and Privilege Ticket Orders to Railway servants for travel by train namely: -

1. Short Title, Commencement and Application - (1) These Rule may be called the Railway servants (Pass) Rules, 1986
2. They shall come into force on the date of their publication in the Official Gazette.
3. Except where specifically provided to the contrary they shall apply to all railway servants under the administrative control of the Ministry of Railway (Railway Board) but shall not apply to :-
(i) an apprentice engaged under the Apprentices Act:
(ii) a person in the casual employment or employed on daily wages:
(iii) any person under the administrative control of the Ministry of Railway who by a general or special order is, excluded from the facilities of Pass or Privilege Ticket Order under these rules.

2. **Definitions :** In these Rules, unless the context otherwise requires:

(i) Adopted child means child for whom there is satisfactory proof of adoption irrespective of the fact whether such adoption is permissible or not under the personal law governing the railway servant concerned.
(ii) **Attendant :-**means a person exclusively employed on salary in the personal service of Railway Servant.

(iii) Dependent relative in relation to railway servant, whose father is not alive means :-

a) Mother including a divorced mother
b) unmarried or widowed sister
c) brother step-brother under twenty one years of age provided he resides with and is wholly dependent on the railway servant.

d) invalid brother of any age and
e) brother who has attained the age of twenty one years and is a bonafide student of a recognized educational institution.
f) Widow mother-in-law to Female employee who have been appointed on compassionate ground on demise of her husband.

3) Family includes :
(i) Spouse of a railway servant whether earning or not
(ii) Son or sons who have not attained the age of 21 years and are wholly dependent on the railway servant.
(iii) Son or sons of the age of 21 and above who are :
a) bonafide students of any recognized educational institution
b) engaged in any research work and do not get any Scholarship/ Stipend;
c) invalid, on appropriate certificate from Railway Doctor.
(iv) unmarried daughter of any age whether earning or not
(v) Widowed daughter provided she is dependent on the railway servant;
(vi) legally divorced daughter who is dependent on the railway servants;

3. " Recognized educational Institution" for the purpose of these Rules means any school, college, university or institution recognized by the Government for imparting education or training in any discipline-general technical professional.

KINDS OF PASS

1) Duty Pass: A railway servant may be issued a duty pass for performing journey while on duty. The categories of railway servants, the circumstances and the conditions under which a duty pass is issued and type of passes issued are as under:

Following are the different types of Duty Pass:-

A) Gold Pass: This Pass is issued to the Chairman Railway Board. Member Financial Commissioner and the General Managers on Indian Railways, Production Units and Chief Commissioner for Railway Safety and all heads of Institutional units where the posts are managed at the level of General Manager. It is available on Indian Railways with wife and minor children. Gold Pass holder while travelling with members of his family may not have more than two berths* in First Class ACC or not more than four berths in Second ACC Sleeper.

The facility of companion on post-retirement account will be available only when the retired Board Member travels alone unaccompanied by eligible members of family.
(RB's No. E(W)97/PS 5-1/23 of 3.6.98; RBE 124/97)

(B) **Silver Pass**: This Metal Pass is issued to all Senior Administrative Grade Officers. Entitles the holders to travel by ACC 1st Class and the family shall be eligible to travel in ACC 1st Class. On payment of 1/3rd difference of fare between ACC 1st Class and 1st Class subject to reserving a maximum number of four berths*.

(C) **Bronze Pass with First AC authority**: Regular J. A. Grade Officers who has completed three year service can travel in ACC 1st Class and for family 1/3rd difference is payable subject to restriction of berths*.

(D) **Bronze Pass :**It entitles an officer to travel with his wife, minor children in 1st Class subject to allotment of not more than four berths.

(a) Cheque Pass: It is issued to individuals whenever the occasion arises to proceed on duty. Duty passes to the Gazetted Officers will cover their wife/husband and minor sons and daughters but they are permitted to reserve only two berths or coupe.

***(for revised details of entitlements, please refer Railway Board's letter NO. E(W)2016/PS5-1/8 dtd. 31-1-2019 – available on Railway Board's website mentioned at the end of chapter)**

2. Privilege Pass: These are the passes issued to the serving employees and include passes issued on School account. These passes are debited to the pass account of the individual employee. The scale of passes to be issued to Railway servants is as under.

(a) Group "A" & "B" (Gazetted Officers): This category of staff are entitled for First Class 'A' pass white in colour. They are entitled for 6 sets of passes and 4 sets of PTOs during the calendar year and enjoy to travel in any class other than ACC 1st Class, in any train other than Rajdhani Express, with 140 kg. Of luggage for each adult member and 70 kg. For each child, with one attendant in second class and can travel in 1st Class ACC on payment of 1/3rd of difference between the fare of 1st Class and 1st Class ACC.

3. Group "C" The pay for determining the entitlement of 1st class pass is mentioned in para 2 above and other than those are entitled for second-class pass. They are granted one set of pass upto the end of 5th year of service and 6 sets of PTOs during the calendar year.

Note : The period of apprenticeship of apprentices can be taken into account to determine the eligibility for three sets of passes after their absorption against regular posts.
(R.B.'s No. E(Trg.)64-PS5-1/16 of 1-12-64 and E(W) 94 PS5-1/7 of 27.9.94)

4. Group "D" This category of staff are entitled for second class pass and eligibility of passes and PTOs are the same as mentioned for group "C" above.

5. Note : 1 Note more than the two dependents can be included in pass/PTO subject to the condition the total number of persons in the pass PTO shall not exceed five. This limit will not apply if only family members are included in the pass/PTO. A dependent relative in relation to a Railway servant shall be deemed to be wholly dependent on railway servant only if/his/her income w.e.f. 1.7.97 from all sources including pension, dearness relief does not exceed RS. 1,695 p.m.

(R.B.'s No. E(W) 87-PS5.1/3 of 6.2.91 amended by RB's No. E(W)97-PS 5-1/71 dtd. 27.2.98; RBE 51/98)

6. When the railway servant himself or a member of his family or a dependent of railway servant in active service who is blind in both eyes travel alone on privilege pass, one attendant may be allowed to travel in the same class in which the blind person is travelling. This facility is granted on production of a certificate from Distt./Divl. Medical Officer of Railway.

7. Privilege pass for both single and return journey shall be valid for four months from the date of issue. PTO for both outward and return journey shall be valid for three months. Passes/PTO shall be issued for journey from starting station to destination station as desired by railway servant, via. Direct route, provided that a longer route may be permitted on the passes and PTOs if :

8. When two alternative routes are available for destination, for example Bombay to Calcutta via Nagpur or Via Allahabad and Bombay to Delhi by Central Railway or by Western Railway- such passes may be permitted by either route irrespective of the distance involved; or

9. The distance to destination via a longer route preferred by railway servant should not exceed 15% of the distance via the direct route; or

10. The longer route to destination is quicker than the direct route, irrespective of distance involved.

11. Break journey is permitted only where it is mentioned on pass and an endorsement is to be taken on the back of pass from the station when the journey is broken.

12. If both husband and wife are railway servants, passes are granted to both of them on each other's account.

13. Apprentices are also entitled passes as admissible to Railway employees but the passes are not issued to the families of apprentices.

14. Passes issued to railway servants should be made available by Mail train irrespective of any distance.

15. Those employees recruited after 30.06.87 shall be eligible for 4 seats of PTOs during year, thus bringing them under the purview of scheme of entitlement of passes to widow/widows after their death while in service or after retirement.

Period of availability:

16. Both Outward and return journey passes shall be made available for period of 5 months.

17. PTOs shall be made available for the period 5 months for Outward and Return journey from the date of issue.

18. Note : 1. In cases, where only family is included PTOs shall be made available the period upto, which the pass has been issued irrespective of whether, the PTOs are required from the place of duty or any other station.

19. In cases, where the employee is included and is on leave for more than 14 days and the pass has been issued to him a PTO required for journey from out station shall be made available for the period of 2 months from the date of issue.

20. Railway employees on deputation to non- railway departments shall enjoy full benefits of privilege passes including PTOs and School Passes except monthly season Tickets.

21. For deputation in Public Sector Undertakings, the benefit would be for period of three year and for others, 4 years. This benefit does not apply for deputation to the Trade Unions.

22. School Passes: School passes are issued to each student member of the family who is dependent on railway servant on production of a certificate from the recognized institution where the student is studying away from the headquarters of the railway servant. Student sons/daughters of railway servant in receipt of stipend as distinct from merits/means scholarship, will not be admissible for school pass if they are above 21 years of age (R.B.'s No. E(W)85 PS-5-1/8 if 11.9.85 Bahri's 260/85). The passes are issued between place at which either parent is residing to school/college and back when vacations of not less than 3 days consecutive duration or closure of institution due to unforeseen circumstances declared.

23. Three sets of passes or six half sets are admissible for every child in a calendar year, and are in addition to privilege passes. The school passes issued are debited under the heading 'On School Account'.

24. Such passes can also be issued to a place other than the residence of either parent and back provided the length of such journey does not exceed the distance from the school/college and either parent's residence.

25. A parent or a guardian may be included in school pass in which a girl of any age or a boy under 18 years age for return journey for parent or guardian or paid nurse to the station from which journey commenced, a separate pass may be issued in the class to which the employee eligible, if guardian be an attendant he will be issued only IInd class pass.

26. In cases where a School Pass is sought to/from a place other than the Railway servant's headquarters or the permanent place of residence of the other parent, if it be different, the grant of such pass shall have the approval of the gazetted officer under whose control the Pass Issuing Office is functioning. The gazetted officer shall take into account the material facts relating to the request and accord his approval recording reasons therefore, after he is satisfied that the said change is justified and not made with a view to receive any unintended benefit.

27. In cases where a School Pass is sought to/form a place other than the Railway servant's headquarters, where either parent is residing even temporarily such as during summer vacations, etc. the Pass Issuing Authority shall satisfy itself about the bonafides of such request, with reference to the Passes/PTOs already issued for the parent's journey to such a place.

28. Before forwarding to the competent authority any request from a Railway servant for inclusion of a guardian, other than the parents, or any other person covered by the definition of 'guardian' as given in Rule 1 (e) of the Railway Servants (Pass) Rules 1986, the Controlling officer shall satisfy himself about the justification for the same.(R.B.'s No. E(W) 85 PS-5—1/15 of 22.1.90 Bahri's 15/90)

Post –Retirement Passes:
An employee who has retired from service and who was eligible for passes while in service may be granted passes for himself and his family (wife and children only), Group 'D' employee is eligible for passes for self and wife only and not children. The Class of the pass to be given, would be the Class he was enjoying while in service

29. Retired railway employees covered under RELHS and who are suffering from Cancer, major renal problem and serious heart ailments may be issued special pass on medical grounds for travel from the station where they have settled to the station where approved specialized hospitals are located and back subject to the following considerations: -

30. Any retired railway servant or his/her spouse covered under RELHS and who is suffering from Cancer or major renal problem or serious heart ailment is eligible for the issue of special pass on medical ground.

31. The pass will be issued to them in the event of their referral to Zonal Headquarters Hospital for necessary check up, assessment and treatment from the place where they have settled to the station where zonal Headquarters Hospital is located and back.

32. The pass will be issued to them from the zonal Headquarters Hospital in the event of their Inter-zonal referral for specialized treatment for places where such specialized Railway Hospitals are located and also to the Government Hospital wherever referred.

33. Pass will be issued for the Class of entitlement of the railway servants for Post-Retirement Complimentary Passes. (R.B.'s No, E(W)95-PS5-1/33 of 6.5.96, Bahri's 44/96).

34. Complimentary Passes to Widows: The scheme for issue of complimentary passes to widows of Railway employees shall apply to the widows or railway employees who were/are in service on or after 12.3.1987 and expired after the date. A railway employee on deputation without severing his lien on the Railway during the deputation period shall also be covered under the scheme. It, however, does not apply to those who have got permanently absorbed in Public Sector Undertakings prior to 12.3.1987 though they might be in receipt of post-retirement passes.

35. Scale of entitlement: The scale of complimentary passes to which the widow of Railway employee who was/is in service on or after 12.3.1987, and expired after that date, shall be half the number of post-retirement passes that her husband was either receiving at the time of his demise after retirement or in the case of death while in service, would be notionally eligible to receive by reckoning the date of death as the date of retirement, provided that :

36. The widow(s) of a 'D' Group Railway employee, entitled (or notionally entitled) to one set of post-retirement complimentary pass every year, shall be entitled to one set of complimentary pass every alternative year under the scheme.

37. The widow(s)of any Railway employee, who dies while in service, shall be entitled to a minimum of one set of pass every alternative year. Thus she will be eligible to one set of pass in two years, even if the service of the employee before death falls short of the requisite service prescribed for entitlement for post retirement passes.

38. The widow shall be eligible to travel in the same Class to which her husband was entitled to travel on privilege account or on retirement.

39. The scheme of Widow/widower Pass has been reviewed and it has been decided to remove the cut off date i.e. 12.3.87. Accordingly, the widows of the Railway Servants who were in railway service prior to 12.3.87 will also be eligible for complimentary widow pass subject to the condition that they make a one-time payment of RS. 250/- as notional value of two sets of PTOs. In all respects, the Board's letter No. E(W) 85 PS 5-8/2 of 30.6.87, RBE 174/97, shall be followed.

For all the Pass Rules related policy circulars. pl follow the link given below:

www.indianrailways.gov.in

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Railway Board's Directorate

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Establishment

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Establishment Welfare Circular

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Pass Rules Circulars

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Chapter-9

ALLOWANCES

Allowances are given to a employee depending upon the circumstances. While some of the allowances are uniformly applicable to all the railway employees (e.g. Dearness Allowance, House Rent Allowance etc.) many other allowances are applicable according to the nature of job, place of posting and some varying circumstances.

The following are the various types of allowances existing on the Indian Railways.

1. Dearness Allowance – uniformly given to all employees at the rates applicable time to time

2. House Rent Allowance – paid as per classification of the cities where employee is posted

Sr. No.	Classification of City/Town	Rates of HRA
1	X	24% of pay
2	Y	16% of pay
3	Z	8% of pay

This will not be granted to any railway servant occupying any type of railway accommodation Central or State. In case Husband, Wife and Children are occupying a government accommodation they will not be entitled for HRA but if occupying a private accommodation all will be entitled for HRA if government servants.

In case a person is sharing accommodation with another government servant having obtained due permission, the person to whom the quarter is allotted will not be eligible for HRA but the one who is sharing will be eligible for HRA.

In case when an employee is transferred from one station to another and though he retains a railway accommodation or a government accommodation at the old station of posting will be eligible for HRA if not occupying any government accommodation at the new station of posting.

RPF staff occupying barracks is entitled for HRA.

1. Transport Allowance – paid as per classification of cities as well as level in which employee is working

2. Compensatory Hill Allowance –(Subsumed in Tough Locality Allowance by 7th CPC)

3. Remote locality allowance - (Subsumed in Tough Locality Allowance by 7th CPC)
4. Bad climate allowance - (Subsumed in Tough Locality Allowance by 7th CPC).

5. Children Education Allowance: Children Education Allowance has been introduced by the VI Pay Commission. (earlier there was only limited tuition fees was reimbursable) This allowance shall be paid for Classes Nursery to XII Std.

There shall be no nexus with performance, can be paid even if child fails (earlier it was for 2 years in same class) It includes Tuition Fees, Laboratory Fees, special fee appliances used by child, library fee, games/sports fee, extra-curricular . activity, one set of text books, one set of note books, school shoes.

As per Latest orders from Railway Board, (RBE 147/2010 dtd. 12-10-2017) the Education Allowance is revised with following modification:

It is now admissible @Rs. 2250/- per month. Only a certificate from the head of the institute is sufficient that the child studied in the school.

6. The hostel subsidy is raised to Rs. 6750/- p.m. Here also a certificate from the institute is sufficient but the amount incurred by the railway servant.

Both hostel subsidy and Education allowance can be now claimed concurrently. (For more details please refer to RBE 114/2018 dtd. 12-8-2018).

Below given is Pay Structure of 5th, 6th and 7th Pay Commission:

5th CPC Pay Structure			6th CPC Pay Structure			7th CPC Level in Pay Matrix
SN.	Post/ Grade	Present Scale	Pay Band/ Scale	Range Rs.	Corresponding Grade Pay	
(1)	(2)	(3)	(4)	(5)	(6)	(7)
1	S-1	2550-55-2660-60-3200	-1S	4440-7440	1300	
2	S-2	2610-60-3150-65-3540	-1S	4440-7440	1400	
3	S-2A	2610-60-2910-65-3300-70-4000	-1S	4440-7440	1600	
4	S-3	2650-65-3300-70-4000	-1S	4440-7440	1650	
5	S-4	2750-70-3800-75-4400	PB-1	5200-20200	1800	L-1
6	S-5	3050-75-3950-80-4590	PB-1	5200-20200	1900	L-2
7	S-6	32-85-4900	PB-1	5200-20200	2000	L-3
8	S-7	4000-100-6000	PB-1	5200-20200	2400	L-4
9	S-8	4500-125-7000	PB-1	5200-20200	2800	L-5
10	S-9	5000-150-8000	PB-2	9300-34800	4200	L-6
11	S-10	5500-175-9000	PB-2	9300-34800	4200	L-6
12	S-10A	6000-190-9800	PB-2	9300-34800	4200	L-6
13	S-12	6500-200-10500	PB-2	9300-34800	4200	L-6
14	S-13	7450-225-11500	PB-2	9300-34800	4600	L-7
15	S-14	7500-250-12000	PB-2	9300-34800	4800	L-8
16	S-15	8000-275-13500	PB-2	9300-34800	5400	L-9
17	New Scale	8000-275-13500 (Group A Entry	PB-3	15600-39100	5400	L-10
18	S-19	10000-325-15200	PB-3	15600-39100	6600	L-11
19	S-21	12000-375-16500	PB-3	15600-39100	7600	L-12
20	S-24	14300-400-18300	PB-4	37400-67000	8700	L-13

21	S-26	16400-450-20000	PB-4	37400-67000	8900	L-13-A
22	S-27	16400-450-20900	PB-4	37400-67000	8900	L-13-A
23	S-29	18400-500-22400	PB-4	37400-67000	10000	L-14
24	S-30	22400-525-24500	PB-4	67000-79000	Nil	L-15
25	S-31	22400-600-26000	HAG+Scale	75500-(aannual increment@3%)-80000	Nil	L-16
26	S-32	24050-650-26000	HAG+Scale	75500-(aannual increment@3%)-80000	Nil	L-16
27	S-33	26000(Fixed)	Apex Scale	80000 (Fixed)	Nil	L-17

The first pay structure was introduced on Indian Railways in 1931. Thereafter the pay structures have been revised from time to time viz.

i) 1931 - Called as 31 scales of pay
ii) 1934 - 1934 scales of pay
iii) 1947 - Prescribed scales of pay (Ist Central Pay Commission)
iv) 1-7-59 - Authorized scales of pay (IInd Central Pay Commission)
v) 1-1-73 - Revised scales of pay (IIIrd Central Pay Commission)
vi) 1-1-86 - Revised pay scales (IVth Central Pay Commission)
vii) 1-1-96 - RSRP (Vth Central Pay Commission)
viii) 1-1-06 – (Vi th Pay Commission)

Succeeding Pay Commissions have reduced the number of scales and initially what started with 153 scales has been presently reduced to 19 scales. The VIth Pay Commission has introduced the concept of pay bands and grade pay for the first time. The entire pay scales have now been merged into into 4 pay bands and 19 grade pays.

Time scale means a scale in which an employee is appointed at the minimum enabling him to reach the maximum by virtue of earning annual increments.

1. Travelling allowances are of following types:-

i. TA rates vary as per prescribed rates per day. Travelling Allowance has two components, DA and TA. When the employee is travelling it is known as TA, and when the person is halting it is known as DA.

Travelling allowance is paid at the below mentioned proportion if absence from HQs

- Does not exceed 6 continuous hrs. @ 30%
- Does not exceed 12 continuous hrs. @70%
- Exceeds 12 hrs. @100%

ii. TA personnel are entitled to double the rates of their usual travelling allowance, in case of embodiment/training. However, only 20% of the TA will be paid in case free messing is given. Duty allowance to Civil Defence volunteers are paid as per prescribed rates per day if the training is bet. 1 ½ and 2 ½ hrs. However, if the training exceeds 2 ½ hrs., he will be entitled as per prescribed rate.

iii. Rly. servants both Gaz. & N.G. attending courses other than initial i.e. refresher, promotional and Special. courses in Rly. Training School/Institutes where messing is compulsory, shall be provided with free food and in addition 20% of daily allowance will be admissible.

5. Kilometrage allowance - is admissible to staff as per their gradations, i.e. journey by road. In case of employees proceeding on tour, road mileage at prescribed rates is admissible between duty point/residence at the HQs and duty point at outstation and vice-versa.

6. Conveyance hire at outstation - All N.G. staff on tour in addition to TA as admissible, may also be granted reimbursement of bonafide charge on account of conveyance hired by ordinary means of conveyance available at the locality that he may be required to incur for journeys in visiting offices at a considerable distance from each other.

7. Taxi fare for journeys from office to residence at late hours - If Officers/staff are detained beyond 20.00 hrs. On special assignment/urgent work, which cannot wait for the next working day, will be entitled to claim taxi hire for journeys performed from office to residence bet. 20.00 hrs. & 6.00 hrs., subject to a maximum of prescribed rate. Officers are entitled to use private motor car/motor cycle/scooter for official purposes and in lieu of this, they are entitled for allowance and log book is required to be maintained. Average journey is arrived at by going through the log book maintained for a quarter. The rates vary for motor car, and for scooter/motor cycle. This is admissible subject to review in every 2 years. This is at the discretion of GM's sanction.

8. Consolidated travelling allowances- Permanent or Consolidated Travelling allowance is granted to such staff whose duties required him to travel intensively for more than 20 days in a month on an average . In case they are not able to perform the minimum no. of days, they may draw daily allowance for journeys performed as per normal rule.

9. Bicycle Allowance - to group 'D' employees who are required to travel extensively if provided with bicycle and he maintains it will be given allowance as per prescribed rates.

10. Conveyance allowance - To medical officers provided they make 20 domicile visits on a average every quarter. The conveyance varies in case the doctor has his own car, own scooter or hires private vehicles.

11. Allowance to handicapped persons –abolished – instead, transportation allowance is paid at double rate..

12. Running allowances are paid to employees whose duties are connected to moving the train i.e. Drivers, firemen, guards, brakesmen etc. There are 4 types of running allowances viz.

i) Mileage/Km. allowance - granted to him at specified rates on the basis of distance travelled.

ii) Allowance in lieu of mileage/Km. paid to a running staff to compensate the loss of Km. due to his being shifted in non-running duties.

iii) Breach of rest allowance - Whenever the rest is aggregated before completing 16 hours will be eligible for breach of rest allowance @ 2 hours for every hour. This is only if the breach is at HQ and not at outstation. Running staffs on suburban trains are not entitled for breach of rest allowance.

iv) Allowance in lieu of running room facilities - Where running rooms are not provided this allowance is paid provided such period of rest exceeds 4 hours between the train arrival and train departure. Where running rooms are provided but cooks are not provided it is admissible at half the prescribed rate.

13. Accident allowance - Due to accidents, trains are held up at any station other than the HQ exceeding 8 hours the employee will be given a credit of 1 Km for every 24 hours or part thereof.

14. Outstation relieving allowance - When he is deputed to work temporarily at stations outside his HQ he is entitled for this allowance and it is restricted to 14 days only.

15. Project Allowance - It is granted to staff working in undeveloped or underdeveloped places where the construction of major projects is going on. This is granted timely to compensate the lack of amenities such as housing, schools, dispensary etc.

16. Deputation Allowance - This is given to an employee at another organization wholly in public interest which will be 5% of his basic pay subject to a ceiling limit at prescribed from time to time if he is on the same station and 10% subject to a ceiling limit at prescribed rates in other cases. He can draw pay as per the new post or draw salary according to the post in his parent department alongwith the deputation allowance. Deputation is only for 3 years and can be extended in public interest with proper approval of competent authority.

17. Annual allowance - to railway doctors on his academic and research papers - This is paid at prescribed rates to all railway doctors on their furnishing a certificate that the amount of annual allowance is spent for the purpose for which it has been drawn. This will not have the connectivity of pay.

18. Breakdown allowance: This is given to those employees who are required to attend accident due to which the normal working of trains are disturbed. They are paid at fixed rates according to group of staff of various pay rates. They will also be entitled to TA at the moment they leave HQ till returning back without taking into consideration the percentage applicable when calculating TA in their cases. They should also have the privilege of quarters nearby the railway station. They are also entitled to free food during this period or money in lieu of free food.

19. Night duty allowance: Group 'C' & Group 'D' staff performing duty from 22/00 hours to 6/00 hours are entitled to night duty allowance. The basis of calculation is 10 minutes for every hour worked and such calculation if less than an hour will be waved. That means minimum 3 hours or more than 3 hours of night duty should be done to claim half hour night duty allowance. This is calculated as per prescribed rates. Nurses are not paid night duty allowance as they get nursing allowance at a prescribed rate.

20. Washing allowance: Subsumed in dress allowance

21. Laundry allowance: Subsumed in dress allowance

22. Dress Allowance: This is given to RPF Officers, Station Masters, nurses, staff car drivers, trackman, etc.

23. National Holiday Allowance: This allowance is paid to those employees who are covered by the Industrial Negotiation Act are entitled to only 12 days Public Holidays instead of 16 admissible to others. It will also be paid to them in case such a holiday falls on their day of rest.

24. Messing allowance: abolished

25. Officiating allowance: This is given to a employee when he is asked to officiate in a higher grade subject to a minimum of 21 days.

26. Teaching allowance: This is given to gazetted and non-gazetted staff who are chosen from the fields and posted in Centralized Training Institutes and Zonal Training Institutes Teaching Allowance is payable at 24% of basic pay to faculty posted at CTIs imparting training to Group `A' officers. For those working in the ZRTIs, the rate of teaching allowance is 12%.. Those who have been specially recruited for imparting training are not entitled for this allowance.

27. Hospital Patient Care Allowance

This allowance is admissible w.e.f.1.1.2008 to below mentioned categories of N.G. staff working in railway hospitals having less than 30 beds or super specialty hospitals having less than 10 beds or health units.

- Radiographer
- Pharmacists **exceptstore keeper**
- Laboratory staff
- Medical technicians who come in direct contact with the patients (ECG, Dialysis etc)
- Ambulance drivers
- Dressers
- Operation theatre Assistants
- Attendants / Ayahs
- Stretcher bearers
- Ambulance cleaners
- Safaiwalas

- It is admissible at the following rates to the above mentioned staff
- **Rs.4100/- p.m. - Level 8 & below**
- **Rs.5300/- p.m. - Level 9 & above**

28. **Special Train Controllers' Allowance**
    - Rs. 5000/- per month – to be increased by 25% whenever DA is raised upto 50% (RBE 86/2017 dtd. 10-8-17)

29. Additional Allowance – Running Staff
    - Rs. 2250/-pm Loco Pilots – M/E
    - Rs. 1125/- pm Loco Pilots – Psngr
    - Rs. 1125/- pm Guards M/E
    - Rs. 750/- pm Goods Guards
    - Rs.750/- pm Passenger Guards (RBE 85/2017 dtd. 10-8-17)

30. Risk &**Hardship** Allowance to Track Maintainers I to IV (Level I, II, IV, V)
    - Rs. 2700/- per month – Level 8 & Below
    - No other categories (other than Track Maintainers) are eligible for this allowance

31. Special Duty Allowance (SDA)
    - 10% of basic pay
    - For the **North East Region** staff
    - Either Tough Location Allowance or SDA will be admissible
    - If employee is on **leave/Training for full calendar** month, then **NIL**

32. Tough Locality Allowance (TLA)
    - In lieu of Special Compensatory (Remote Locality)Allowance, Tribal Area All & Bad Climate Allowance

	TLA –I	TLA-II	TLA-III
	[Spl Comp. (RL) All]	[Spl Comp.(RL) All]	Bad Climate, Tribal, Sunderban All
L-9 & above	5300	3400	1200
L-8 & Below	4100	2700	1000

33. Non practicing allowances:

This is paid to railway doctors since they are not practicing at 20% of their pay. This is treated his pay for all purposes i.e. TA, DA will be drawn on this also.

34. Post Graduate allowance:

This is given to only those Assistant Medical Officers at prescribed rates for possessing post graduate diploma or post graduate degree to acquire this subsequently and not payable to those who had acquired before joining railways or for whom it is a prerequisite qualification. In case he is transferred from junior scale

to senior scale this will not be given to him but what he was getting will be taken into account for fixation of pay in the new grade. This will also be treated as pay.

Advances from Revenue

All the interest-free advances like Festival Advance, Natural Calamity Advance, Advance on Transfer, Leave Salary advance etc. have been abolished by 7th Pay Commission

Conveyance Advance – Motor Car Advance, Scooter Advance - Abolished by 7th CPC(RBE 10/2017 dtd. 7-2-17)

House Building Advance – House Building advance is admissible to Railway Employees subject to following conditions

1. Minimum 5 years service
2. Maximum amount admissible Rs. 25 Lakhs or 34 months basic pay, whichever is less. This is further subject to repaying capacity of the employee.

(For further terms and conditions, please refer to RBE no. 183/2017 dtd. 5-12-2017)

Chapter-10

WELFARE ACTIVITIES

In the past the relation between the worker and an employer was that of a Master and a slave but due to gradual evolution in the structure of social order of mankind this has changed. The workers have developed a sense of self-consciousness and the employer have realized their duties towards their employees.

Welfare means anything done for the intellectual, physical, moral and economic betterment of the worker by the employer or the Govt. or any other agencies over and above what is laid down by the law or what is normally expected as a part of contractual benefits. The welfare measures should be designed to effect on all round improvement in the employee's living and working conditions. The Welfare measures do not only bestow benefit to the worker but this also pay immediately and in the long run benefits the employer since Welfare activities improve the mental and moral health and efficiency of the worker. On the Indian Railways we have about 13 lakhs employees working and as such have framed policies regarding the Welfare measures for the employee which has been declared to be the best in India.

WELFARE ORGANIZATION

A Welfare Organization functions on each Railway to see the Welfare of the Staff. The Chief Personnel Officer is head of this Organization. A Senior Personnel Officer is posted as a Welfare officer in the Headquarters of each Railway to look after the day to day work of the Organization. He is assisted by number of Welfare Inspectors.

In the Divisions/Workshops the DRM/CWM/SWM etc. are in charge of the Organization and they are assisted by the Divisional Personnel Officer and Assistant Personnel Officers, Welfare Inspectors etc. The Welfare Inspectors has been assigned various duties such as

1. To maintain direct contact with staff and try to settle their day to day grievances by direct contact with the officer concerned. To assist the employees with regard to appeals and representations and the correct procedures etc. and to deal with representations on various establishment matters.

2. To inspect stations, subordinate offices and sheds and to see the proper maintenance of registers, such as, attendance registers, overtime registers, register of abrogated rest, increment register, register of claims under W.C. Act, duty rosters and classification charts etc. and to see that all statutory notices are displayed at the site of work and provisions of various acts are not infringed.

3. To inspect Workshop, with a view to see and check that provisions with regard to health, hygiene, safety, layout, over-crowding, drinking and washing facilities, lavatories and urinals, rest sheds and tiffin rooms etc. are observed.

4. To survey, organize and supervise various welfare and recreational activities, viz. i) Co.-operative Societies, Canteens, Holiday Homes, Educational tours etc., ii) Child welfare and maternity centres, iii) Sports and games amongst the staff, iv) women's activities amongst the wives and daughters of the staff, v) Thrift and national savings schemes, vi) Other activities for the moral, material & cultural development of the employees and their families, vii) To keep watch over the performance of Labour Co.-operative societies, etc.

5. To organize and watch the activities of staff councils, wherever existing.

6. To assist the employees in claiming and obtaining payment of their due wages and allowances including overtime allowance, gratuity, P.F., compensation under W.C. Act etc. and also to assist the families and dependents of the deceased employees in obtaining their dues and similar other matters and to check up the settlement cases to see that they are finalized very early.

7. To visit periodically local residential places of staff and take steps to improve cases of bad sanitation, repairs of quarters, etc.

8. To study the needs of individual employees with a view to encourage them to keep out of debt and to acquaint them with the procedure for obtaining loans from Funds, if any.

9. To assist the employees who are in need of medical facilities for themselves and their families.

10. To bring about settlement of disputes amongst the staff themselves.

11. To arrange shows, exhibitions and propaganda lectures etc. for the various welfare schemes, as and when necessary.

12. To attend to all matters with regard to welfare organization, Staff Benefit Fund and to follow up Inspection reports of the Inspectorate of the Regional Labour Commissioner.

The following are the Welfare Schemes.

1. School Facility and Educational Assistance

Education though is primarily a state subject, the railways have yet entered the field to a limited extent so that the Rly employees children do not lack from Educational Benefits due to their postings.

In Rly colonies where there are no schooling facilities Rlys run their own schools. On Rlys we have austerity type of school, Primary schools, Middle school etc. Besides this even Non-Rly schools which are nearby to the Rly colony and which have sufficient number of students who are sons and wards of Rly employee are given grant in aid by the Rlys. In cases where none of this facilities are available and then the employee is required to send his children away from his place of

posting for schooling purposes Educational Assistance is given to the employee with a view to give relief towards their expenses on school education of their children. Besides this we have subsidized hostels at some stations where normal Boarding charges are payable by the employee for keeping each child in such a hostel but no rent is recoverable for the accommodation. This facility is admissible to Non-Gazetted employees.

2. **Scholarship** - Children of Non-Gazetted staff undergoing technical education in Science or in applied science subjects, leading up to a Degree or Diploma in Medicine and various branches of Engineering are given Scholarship from the staff benefit fund so that they are not economically handicapped for getting their children education in technical institutions.

3. Uniforms for Children studying in Primary Schools - At the cost of Rly revenue uniforms of the simple style at a lowest cost may be given to children of Rly employees whose children are studying in Railway primary schools. Medical facilities hospitals, dispensaries, maternity centres, child welfare centres, chest and dental clinics are run by Rlys for different stations for the benefit of the employee and their dependents. In cases where it is recommended by the authorized medical attendant the reimbursement of the cost of the medicines from the local market is also admissible.

4. Social and Cultural Schemes –

a) Sports - Sports is encouraged in Rlys who induce healthy physical exercises. There are different branches of sports activities functioning on the Rly.

b) Institutes and Recreation clubs - In order to encourage social and cultural habits amongst Railwaymen institutes and clubs are functioning at different places over the Rlys. The premises are rent free and the Membership is optional. Assistance is also given from the Staff Benefit Fund for running this Estt.

c) Mahila Samitis - Female family members and dependent of Rly. employees run the Mahila Samitis with the aim and the object to foster cordial relations, establish social contacts, impart technical, vocational Civil and Cultural educations, promote literacy, physical cultural and domestic economy amongst the members. Fabrication work is done by these Centres on a very large scale and the members of the families are remunerated for the job done by the Railways. Thus members of the Mahila Samitis can supplement the income of their families.

d) Cultural Association - Different Centres have been established with the object of working of Cultural, Musical and Dramatic talents of Railwaymen.

e) Scouting Movement - Scouting Organization is functioning in each railway.

5. Children's camp - For Non-Gazetted employees camps for their children are held from time to time in a healthy and scenic places so that they not only get a change of air but also enjoy places of Historic, Cultural and Educative interest.

6. Education Tour for Industrial Workers - In order to give an all round knowledge about the Industrial Development Educational tours for the Industrial workers are organized for Workshop staff. Employee with outstanding achievements are selected for this tour. They are given lumpsum amount and 15 days special C.L. for this tour. The selected members can also include family members limited to 4.

7. Mobile Library - It is functioning on the Rlys for the benefit of staff at way side stations Library facilities. Elsewhere Libraries are provided either at the office or by the institutes/clubs.

8. Holiday Homes - Holiday homes have been established at different healthy places as a measure of amenities to staff where they are provided accommodation at a very nominal rent. This accommodations are self contained and furnished, also well equipped with store room, Kitchen rooms and utensils. A Rly employee is admissible to this facility at any station on Indian Railways where such holiday homes are available. Besides at these holidays homes indoor and outdoor games are also provided for the benefit of the staff visiting Holiday Homes. Even close relatives related to the husband or the wife is also entitled if accompanying the family of the Railway employee.

9. Trips are organized to Popular Holiday resorts for the benefit of the Non-Gazetted staff and Childrens of Rly Employees in batches. They are charged nominal lumpsum as per pay range. The balance of the amount is met from the staff benefit fund. Welfare inspectors accompanying these trips see to the facility of the staff such as Boarding, Lodging and Catering etc. and arrange excursion tours. As far as the real journey is concerned the employee has to make use of his own privilege pass.

10. Quarters - Residential accommodations are provided to Rly employees in turn according to their status. The staff belonging to essential categories are given preference above the non-essential categories. Housing committees are formed for the allotment of Quarters. Besides this administration provides loan at nominal interest to Rly employee to enable them to purchase/construct their own houses.

11. Canteen Facilities -

There are two types of Canteen existing on Railways namely Statutory Canteens and non-statutory canteens.

a) Statutory Canteen - are based on the provisions of section 46 of the Factories Act 1948 wherein the administration is required to set up canteens in establishment where there are 250 or more working peoples employed. It is the legal responsibility of the Rly administration to ensure proper Mgt. Of canteens either by way of making a committee of Mgt. And or by appointing agents or cooperative societies.

b) Non statutory canteens - are provided as a measure of staff welfare by encouraging development on cooperative basis the committee of Management consists of duly elected representatives of staff for whose benefits the canteen is run and they have the full power to operate the canteens. Loans as initial capital is

sanctioned from the Staff Benefit Fund and should be repaid in installment within 2 to 3 years as determined by the staff benefit fund Committee.

Canteens should be opened where considerable employees are employed such as Workshops, Sales, large stations etc. wherever the staff strength is more than 25 but less than 100 tiffin room should be provided, but in cases where the staff strength is more than 100 effort should be made to provide a regular canteen. Canteen should run based on " No Loss No Profit" and also taking into account cost procurement running expenses etc.

The canteen should not involve loss in working hours and as such efforts should be made to see that light refreshment reaches the employees and the meals if any provided should be provided only during lunch hour or outside office hours.

Incident of cost

The railway administration may provide necessary accommodation sanitary, electrical installations, furniture and cooking utensils and also bare the rent and service tax and charges for the same.

12. Handicraft Centre

These are set up in the Rly colonies for the benefit of the families of the Railwaymen for imparting training in Handicraft such as weaving, knitting, spinning, dealing of agreement with the object of learning some trade to augment the family income. Expense on the scheme is made from the SBF and these Centres should be provided in spare Rly building free of rent. Administration encourages this handicraft centres by placing orders of supply and fabrications of articles required by the Rlys.

13. Cooperative Societies

There are 3 types of cooperative societies namely consumer cooperative society, cooperative credit societies and bank and cooperative housing societies.

14. Consumer cooperative society - Consumer cooperative society means the retail society to carter the needs of the Railwaymen at reasonable prices with a minimum element of profit. The Rly will provide suitable accommodation on nominal rent of and actual municipal taxes if the society is running a fair price shop. It will also provide one ceiling fan free of cost, electrification of premises, supply of water and electric current at concessional rates, recovery of credit sales through pay bill of members, special passes and special CL to the members of the Mgt. Committee land for construction of own building on nominal rent per year. Deputation of Rly employees to the society with protection of rights of promotion etc.

The membership of this credit societies will be opened to all Rly. servants and in order to be a member employee should purchase atleast 1 share of not less than Rs. 10/- along with the admission fee. Retired and ex-railway servant are not to be considered for the membership.

The Mgt. Of these societies are carried out by the Mgt. Committee formed from amongst the shareholders of the society who on being formed, elect a Chairman, Secy. And treasurer. In cases where the cooperative society has been given lean the administration should nominate on the Mgt. Committee, Gaz. Officer representative up to 1/3rd of the Mgt. Committee a strength.

Subsidy

Subsidy amounting to not more than ½ the administrative and Estt. charges for the 1st 3 years is given subject to the condition that the state cooperative department certifies that the society is functioning properly.

15. **Co-operative Credit Banks/Societies**

The main object of Co-operative Credit Banks/Societies is to encourage habit of thrift among members rather than provide loans to them at reasonable rate of interest. The rate of subscription recoverable from subscribers every month, rate of interest on the subscription, withdrawal of sum from compulsory thrift deposit, penal rate of interest in case of compulsory monthly subscription falling into arrears, deduction of amount to a society from the subscription at the time of making an advance from compulsory deposit should be as per bye-laws of respective registered Co-operative Credit Societies/Banks.

The following facilities are extended to co-operative credit societies and banks -

a) recovery of loan, bank deposits and compulsory thrift deposits through salary bills of staff concerned.
b) privilege pass, PTOs for the employees of the societies available as per scale laid down in pass rules.
c) special casual leave and passes for members of managing committee to attend meetings.
d) provision of accommodation at reasonable rent as per para 1960E.
e) free publication of their notices in Railway Gazettes.
f) medical facilities in railway hospitals and health units to the staff and to the members of their family at per capita charge.
g) Cooperative credit societies and banks should pay for rent of accommodation and for telephones, electricity and water.

16. **Cooperative Housing Societies**

Railway servants or Cooperative Housing Societies consisting of such Railway servants who are eligible for loan under low income Group Housing Schemes for construction of houses. The loans will be available to them through the head of department. Not more than one loan or advance can be obtained by the Railway servants from any Government service.

17. Mobile Libraries

They are intended to supply reading material to staff posted at wayside stations where number of books may be set up either attached to the existing institutes or independently, and the following provisions may be looked into:

a) Conversion stock/Coaches for use as mobile library and the haulage cost shall be borne by Railway Revenues.
b) Where set up independently, the cost of staff, shall be borned by Railway.
c) Where Institutes take up the libraries, the cost of staff shall be borne by Staff Benefit Fund.
d) The cost of books shall be met from Staff Benefit Fund.

18. Medical Facilities.

This subject has been dealt with separately and so far as Staff Welfare is concerned, it could be said that:

Railways have provided Railway hospital dispensaries; Child welfare centres, family planning centre for the benefit of Railway servants, their family members including dependents and the assistance of Welfare Inspector could be availed of in case any difficulty arisen or guidance required.

Chapter-11

Staff Benefit Fund

Each Railway Administration maintains a Railway Staff Benefit Fund which is financed from:

a) receipts from fines.
b) all receipts from forfeited Provident Fund bonuses other than those of gazetted Railway servants, and
c) an annual grant from the railway revenues at a per capita rate of Rs. 500/- for the Financial year 2010-11 in respect of each non-gazetted Railway employee employed on the Railway (other than in a Capital construction project) at the end of the previous year.

The fund is administered at Headquarter level, for the benefit of non-gazetted staff, by a committee consisting of:

Chairman	Chief Personnel Officer of Zonal Rly
Members	Chief Medical Officer
	Dy. General Manager (General) or C.E.
	12 selected members from each union
	viz., 6 from NRMU & 6 from CRMS.
Secretary	Personnel officer (Labour & Welfare)

The objects of the Fund are as under:

a) to aid education of the staff and their children when no assistance is admissible under the rules;
b) recreation and amusement for the staff and their children;
c) relief and distress amongst the members of the staff and their families;
d) such schemes from sickness or maternity leave to the families of the employees as are not covered by the Medical Attendance and Treatment Rules;
e) Any other object with the approval of General Manager:

Annual Inter-Railway Cultural Competitions should be financed from Staff Benefit Fund, and out of the head “Recreation other than Sports” for which an amount of Rs. 2 per capita has been earmarked as per capital contribution of 5 paise will be earmarked for being spent on Inter-Railway Cultural Competition every year. Allotment of this part of the Fund to the various organizing railway as may be decided by Railway Board, will be made centrally by the Board. However, the amount of fund are spent according to the following proportion:

a)	Education	31%
b)	Recreation of staff and children	21%
c)	Relief of distress, Sickness	41%
d)	Miscellaneous	7%

Divisional Staff Benefit Fund Committee consists of an officer nominated by Divisional Railway Manager, two representatives from each union and a nominated Welfare Inspector shall be the Secretary, and presided over by Divisional Personnel Officer.

In Workshop, Workshop Staff Benefit Fund Committee would be same as prescribed for Divisional Committee and if there is no Senior Personnel Officer attached to Workshops his place shall be taken by the Works Manager.

The following are the activities under the heading " General Activities"

Education

1. for technical education in Engineering, Medical and Scientific courses.
2. assistance in the shape of stipend for courses of Chartered Accountancy Cost Accountancy.
3. for opening of Vocational training centres.
4. educational assistance to Group 'D' appearing in School final examination.
5. for deaf, dumb and blind children educational expenses.

Recreation

1. Grants to Institutes, Sports Clubs, Children Camps, Cultural activities, Recreation centres, Mahila Samities.
2. Supply of books to Railway hospitals for indoor patients.
3. Loans of Canteens.
4. Mid-day meals to children of Primary schools.
5. For uniforms to school children of Primary schools.

Sickness and distress relief

1. For funeral expenses of low paid staff.
2. Assistance to staff suffering from T.B., Cancer, Mental diseases when they are on leave without pay.
3. For purchase of artificial limb, spectacles, dentures
4. Distress due to natural calamity.
5. Assistance to low paid staff for loss due to fire.

Miscellaneous

1. Provision of libraries and mobile libraries.
2. Railway Reading rooms

SBF committee shall hold office normally for period of one year. General Manager shall arrange for keeping the accounts of fund and audit of accounts shall be carried as prescribed by President and G.M. shall also submit an annual report to Railway Board on Working of fund during the previous financial year.

Salient Points

a) where assistance is given under Educational Assistance Rules, no further assistance from the SBF to be given.
b) In deserving cases of distress of ex-members or their families, relief may be sanctioned for the purpose of educational assistance but this cannot be as a regular measure as the serving employees have a prior claim.
c) Retired Railway employees or persons dismissed/removed or outsiders cannot be nominated to the SBF Committee.
d) Railway employees under suspension should not be allowed to attend the meetings of the SBF. However, there is no objection for substitute taking his place.
e) Expenditure on maintenance of maternity centres on the Railways is to be borne from 1.4.55 from Railway revenues instead of contribution from SBF.
f) Railway employees serving on various Railway Recruitment Boards will continue to derive the individual benefit from the SBF of their parent Railway. For collective benefit, such as recreation, sports, etc. they will be attached to the Railway who has the Administrative control of the Railway Recruitment Boards.
g) The number of permanent staff of open line in the Railways on their regular transfer to Construction Projects except RE and COFMOW should be taken into account for the purpose of working out per-capita contribution to SBF.
h) The cost of the stationary, printing charges of forms, postage charges and other contingent expenses relating to the Funds is met from the Railway revenues. Expenditure on entertainment during SBF meeting should be met from the Fund itself.
i) Elected representatives when attending meetings of the SBF committees will be issued passes of the Class to which they eligible on privilege account as Railway servants.

The accounts of the SBF will be monitored and internally checked by the office of the FA & CAO and the Audit will make the checks.

Annual reports on the working of the SBF should be submitted by each Railway Administration to the Railway Board.

SELECTION, TRADE TEST & PROMOTIONS

Non- gazetted Selection, Promotion and Trade test

Topics to be covered

- Promotion Procedures in non-gazetted posts
- Selection Posts-definition
- Stages in Selection
- Constitution of selection committee
- Panel formation
- Selection-Do's
- Selection- Don'ts

Promotion Procedures in non-gazetted Posts

- Selection
- Modified Selection
- Suitability tests
- Trade Tests (for artisan categories)

Selection Posts- Definition

1. Selection Posts are those which are declared as such by Railway Board.
2. Promotion to these posts involves Positive acts of selection - written test or both written test and Viva Voce. Written test is must.
3. Viva-voce has been eliminated in most selections except for the following categories.

- Instructors of training centres, Hostel Superintendents
- Teachers , Law Assistants, Stenographers, Physiotherapists
- Telephone Operators, Chief Typists, Receptionists
- Protocol Inspectors, Publicity/ Advertising Inspectors, Photographers

Stages in Selection Process

- Updation of seniority list
- Assessment of vacancies and approval of competent authority
- Notification
- Finalization of eligibility list
- Pre-selection coaching for SC/ST staff
- Constitution of selection committee

Stages in Selection Process (Contd.)

- Written test
- Absentee written test, if necessary
- Publication of written result
- Viva-voce if necessary and permissible
- Formation of panel – valid for two years
- Dispose of representations, if any
- Publish the marks after the panel is formed.

Assessment of Vacancies

1. EXISTING VACANCIES
2. VACANCIES IN CONSTN./ R.E. / OTHER ORGANISATIONS
3. ANTICIPATED VACANCIES FOR THE NEXT 15 MONTHS ON ACCOUNT OF (2 YEARS FOR EX.CADRE POSTS)
   A. SUPERANNUATION OF STAFF (INCLUDING IN HIGHER GRADES)
   B. VOLUNTARY RETIREMENTS & RESIGNATIONS
   C. DEPUTATION AND INTER RAILWAY & INTER DIVISIONAL TRANSFER
   D. NEWLY SANCTIONED POSTS EXPECTED
   E. CHAIN VACANCIES ON HIGHER GRADES DUE TO ANTICIPATED PROMOTIONS IN HIGHER GRADES
   F. STAFF EMPANALLED FOR EX.CADRE POSTS
4. WHEREVER DR ELEMENT IS THERE SEGGREGATE DR & RANKER QUOTA
5. WORK OUT SC AND ST VACANCIES (POST BASED ROSTER)
6. PREPARE ASSESSMENT SHEET AND OBTAIN APPROVAL OF COMPETENT AUTHORITY

Constitution of Selection Committee

- Gr.D to Gr.C – Assistant/ Jr.Scale Committee
- Posts below GP 4200 – Senior Scale Committee
- Posts equal to or above GP 4200 – JAG committee
- At least three members , out of whom one should be SC/ST
- Personnel Officer may be one grade lower
- Efforts should be made to co-opt female member and member from minority and OBC Community
- Officers in the agreed/ secret list should not be nominated
- Nominating Authority – DRM/ADRM in the division , CWM in the Workshop , PHOD/HOD in the HQ

Setting of Question Paper

- Bilingual Question Paper
- Minimum 10% mark on official language and it should be optional
- Objective type question should be 45% to 55%
- Test should be designed to test the practical problem an employee is likely to face on promotion
- Question setter must provide the answer keys for objective questions and important points for narrative questions.

Evaluation of answer sheet

- No Cutting and Erasing
- No use of pencil for marking
- Uniformity of Evaluation be ensured
- No individual grace mark be awarded
- If extra question is attempted then question attempted last to be ignored
- No Evaluation if Identity is Disclosed
- No evaluation without the answer keys for objective questions and main points in subjective questions.

Panel Formation.

1. Normal Selection

HEADING	MAXIMUM MARKS	QUALIFIYING MARKS
I) PROFESSIONAL ABILITY	50	30
II) RECORD OF SERVICE	30	-
III) SENIORITY	20	
TOTAL	100	60

Panel Formation (Contd.)

2. General Selection / LDCE

	Maximum marks	Qualifying marks
Professional Ability	50	30
Record of Service	30	18
Total	80	48

Panel Formation (Contd.)

3. Selection for ASM, Loco Pilot and Motorman

HEADING	MAXIMUM MARKS	QUALIFYING MARKS
PROFESSIONAL ABILITY	50	30
RECORD OF SERVICE	30	-
APTITUDE TEST	20	MINIMUM CUT OFF DECIDED BY RDSO
TOTAL	100	60

Panel Formation (Contd.)

- SELECTION from GR D TO GR C POSTS
  (GP -1800 to GP – 1900/2000)

A) WRITTEN TEST 85 MARKS
B) RECORD OF SERVICE 15 MARKS
C) QUALIFYING MARKS 60 MARKS

Panel Formation (Contd.)

- **Safety Posts** – 60 % in Professional ability and in aggregate. No relaxation for SC/ST
- **Non – safety posts -** 60 % in Professional ability and in aggregate. 50 % for SC/ST.

- **Normal selection** (1 x 3 formula) – Panel as per seniority of qualified candidates. Staff getting 80 % and above are classified as **Outstanding** and supersede 50 % of eligibility list.
- **LDCE** (without restricting the field) – Normal selection without seniority marks. Panel as per merit.
- **General Selection** (Volunteers from across cadres/deptt without restriction of field and all eligible candidates are called for selection) **-** selection without seniority marks. Panel as per merit.

Best amongst the Failed Scheme

- In **non-safety** categories for **SC/ST** only
- In case of shortfall in the SC/ST panel as per normal standard for them, SC/ST employees getting at least 20% marks each in Professional Ability, Record of service and in aggregate may be promoted on **adhoc** basis
- After 6 months, service is reviewed and if found satisfactory , is placed in the bottom of the panel. Promotion counted from the date of Ad-hoc promotion.

Supplementary Selection

- Should be attended by the same official as far as possible
- Normally not more than one
- supplementary selection to cater to the absentees
- Second supplementary only with the approval of the CPO
- Grounds of supplementary selection:
  - Non-intimation/late intimation
  - Sickness certified by authorized railway doctor
  - Non-relieving by administration

Trade Test

- Test of promotion for artisan category
- Promotion for semi-skilled on the basis of aptitude test except in certain category
- To be conducted by trade testing panel. In practice trade test is conducted by asst officer and result approved by JAG officer
- Grade II to I promotion on the basis of ACR/APAR by DPC of 3 Sr. Scale officers
- Max six weeks officiating permissible without passing trade test

Trade Test (contd.)

- Qualifying mark in trade test

	Total mark	Qualifying mark
Practical	60	36
Oral	40	15
Total	100	51

- For SC/ST staff, 30 instead of 36 and 11 instead of 15 for other than safety category

Selections – DO's

- Ensure that the Selection Committee is properly constituted. One of the members must belong to the SC/ST category. The committee members must read the instructions carefully and acknowledge the same
- Ensure that the number of vacancies is correctly assessed, following the PBR and approved by Competent Authority. Number of vacancies not to be altered once the notification is issued

Selections – DO's (Contd.)

- Ensure that the answer sheets are handed over to the evaluating officer in a sealed cover immediately after the examination, after encoding.
- Evaluation of answer sheets should be done with indelible ink and in no case should a lead pencil used.
- Evaluating Officer, before starting evaluation, must obtain the important points for the narrative type of questions and exact answers for the objective type of questions.

Selections – DO's (Contd.)

- Personnel Officer of the Selection Committee should ensure that the correct procedure of selection is followed.
- If a change is introduced in the condition of eligibility after the call of applications or after the selection has started ensure that opportunity is given to all candidates who may have become eligible according to the revised conditions of eligibility.
- Maintain absolute secrecy in the translation and printing/photocopying of question papers.

Selections – DO's (Contd.)

- Ensure that the evaluation chart prepared is signed by all the members of the selection committee.
- Ensure that panels are drawn as per rule
- Ensure that the Roster Points for SC/STs are followed.

Selections – DON'Ts

- Do not nominate an officer in the Selection Board/ Committee, if his name is borne on the Agreed/secret list.
- Do not change the constitution of the Selection Board/committee for a selection except when unavoidable.
- Do not increase the number of vacancies when the selection process has started.
- Do not allow delays between various stages of the selection process, particularly between written test and viva-voce and publication of the result.
- Evaluating Officer must not get the evaluation of answer sheets done by someone else unofficially.

Selections – DON'Ts (Contd.)

- Do not use a lead pencil for allotting marks.
- Do not carry out alterations in marks by over writing or by erasures.
- Do not forget to implement, in any selection, the reservation rules for SC/& ST.
- Do not be prejudiced while performing your duties due to pressure of any kind.
- Evaluating Officer must not give marks for answers attempted in excess of the number of questions expected to be attempted by the candidate.

Selections – DON'Ts (Contd.)

- Do not forget to date your signature in the selection proceedings.
- Do not increase the marks once awarded to any question in the written test.
- Do not announce selection panels piecemeal except to the extent unavoidable.
- Selection Committee members must not be pressurized by any authority, howsoever higher it may be.

THANK YOU

MANAGEMENT CONCEPTS (INTERPERSONAL SKILLS)



1

Session learning objectives

- What are skills?
- Different interpersonal skills
- How to use these skills practically in the workplace.

2

What is Skill ?

"The ability to demonstrate a system and sequence of behavior that is functionally related to attaining a performance goal".

° No single action can constitute a skill

3

Different Skills

1. Human skills
2. Technical skills
3. Political skills - build a power base, and establish the right connections.
4. Conceptual Skills

4

Key IP Skills for Managers

Sending messages	Empowering people
Listening	Resolving conflicts
Persuading	Providing Leadership
Setting goals	Negotiating Promoting change
Politicking	
Providing feedback	
Running meetings	Building teams.

5

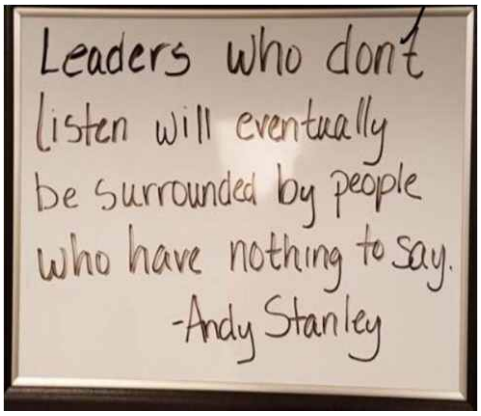
3/2019

Sending Interpersonal Messages

- Provide all relevant information
- Are honest / congruent in verbal / nonverbal messages.
- Use multiple channels
- Use "I" statements -message is your own.
- Use language the receiver can understand.
- Communicate in a warm, friendly & dynamic manner.
- Obtain feedback

A good listener

- Makes eye contact.
- Exhibits affirmative head nods
- Avoid distracting actions
- Asks questions.
- Paraphrases using his / her own words.
- Avoids interrupting the speaker.
- Makes smooth transitions between the roles of speaker and listener.



Routes of Feedback

- Oral/Verbal
- Written performance evaluation
- Visual

Constructive/Destructive Feedback

Constructive	Destructive
Private Address behavior- not person Specif ic Prom pt Positi ve Suggest actions to solve problem	Public Address personal character General Delayed Negati ve No solutions offered

Importance of Feedback

- Prevents costly mistakes/accidents
- Provides opportunity for improving work performance
- Reactions: Negative–Defensiveness, Denial, Emotional Display

Steps to provide Constructive Feedback

Sandwich technique

- Compliment
- Criticism
- Compliment

SBI

Goal Setting

› Identifies an employee's key job tasks.

› Specifies deadlines for each goal.

› Allows subordinate participation.

› Prioritizes goals.

› Builds in feedback mechanisms to assess goal progress.

› Commits rewards contingent on goal attainment.

Empowering Through Delegation

› Clarifies the assignment.

› Specifies the subordinate's range of discretion.

› Allows subordinate participation.

› Informs other who might be affected that delegation has occurred.

› Establishes feedback controls.

Delegation depends upon

u Size of the organization

u Importance of the duty or decision

u Complexity of the task

u Culture of the organization

u Qualities of employees

Politicking

› Frames arguments in terms of organizational goals.

› Is friendly and develops a desirable image.

› Gains control of organizational resources.

› Appears to be indispensable.

› Is assertive.

› Develops coalitions & Avoids "tainted " members.

› Gains support of higher authorities.

Persuading

› Uses a positive, tactful tone.

› Presents ideas one at a time.

› Tailors argument to the listener.

› Appeals to the subject's self -interest.

› Makes a logical argument.

› Uses emotional appeals.

Building Teams

› Establishing a common purpose.

› Assessing team strengths and weaknesses.

› Accountability-individual/team performance.

› Building mutual trust among members.

› Maintaining an appropriate mix of team member skills and personalities.

› Providing needed training and resources.

› Creating opportunities for small achievements.

Resolving Conflicts

- Dealing directly with the conflict.
- Ascertaining the sources of the conflict.
- Empathizing with the conflicting parties.
- Using the appropriate conflict -handling style.
- Selection of the most appropriate conflict-resolution option.

Negotiation

- Considering the other party's situation.
- Planning a concrete strategy before negotiating.
- Beginning with a positive overture.
- Addressing problems, not personalities.
- Not taking initial offers very seriously.
- Emphasizing win-win solutions.
- Insisting on using objective criteria.

ANY QUESTIONS?



Some men see things as they are and ask why? I dream things that never were and ask, why not?

J.F.Kennedy

STRESS MANAGEMENT

Stress Management

Objectives

At the end of this session participants will be able to describe:

1. Stress
2. Types of Stress
3. Ill effects of chronic stress on health
4. Diagnostic features of stress and
5. Enumerate ways and means for Management of stress

A question?

How many of You suffered mild or moderate stress in last six months?

The **World Health Organization** stated, **"Stress"** has become a **'World Wide Epidemic'**

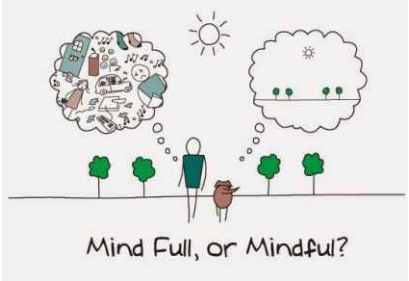


Stress facts

- Percent of people who regularly experience **physical symptoms** caused by stress -77 %
- Regularly experience **psychological symptoms** caused by stress -73 %
- Feel they are living with **extreme stress** -33 %
- Feel their **stress has increased** over the past five years -48 %
- Reported **lying awake** at night due to stress -48 %
- **46% of workforce in firms in India suffer from some or the other form of stress**
- Almost 70% of people who seek medical care are directly or indirectly related to stress related disorders

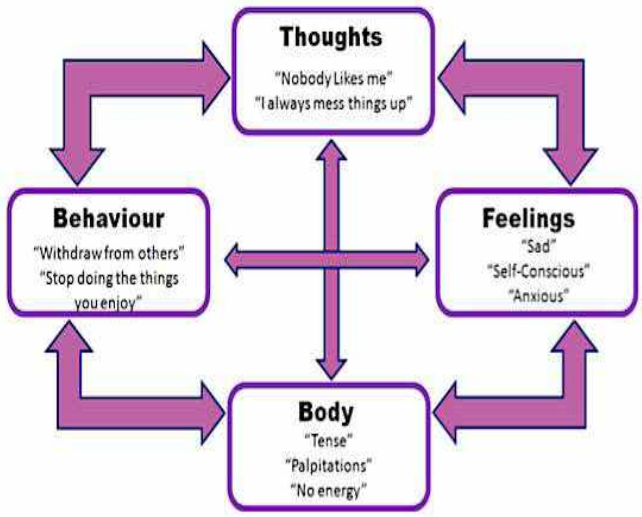
What causes Stress ?

- Stress is related to Life Events …& situations.
- We Can't avoid it.



What is Stress ?

- 'Stress is the physical & mental response to the real or perceived changes & challenges in our lives,
- Stress occurs when pressure exceeds our perceived ability to cope.



Is stress always Bad ?

TYPES OF STRESS

Two Types

- Eustress
- Distress

EFFECTS OF STRESS

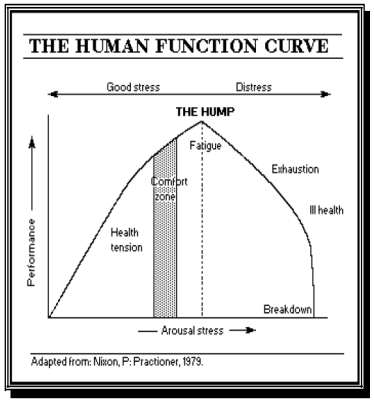


Diagram from Dr. Peter Nixon (British cardiologist.)

MEDICAL TYPES

- Acute Stress
- Chronic Stress

How Does Stress Affect Health?

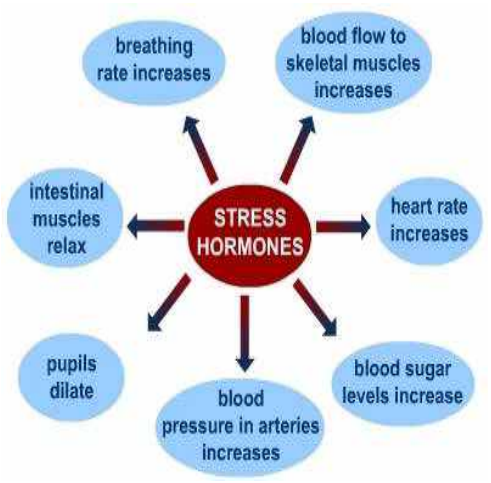
- The human body is designed to experience stress and react to it.
- Stress can be **positive**, keeping us alert and ready to avoid danger.
- Stress becomes **negative** when a person faces continuous challenges without relief or relaxation between challenges.

Acute Stress : Flight or Fight Response

(Walter Cannon1932)

- Adrenaline Pumps up.
- Breathing Speeds Up.
- Heart Pounds.
- Blood Pressure Jumps.
- Muscle Mobilize.

EFFECTS OF ACUTE STRESS



How Do You Know that You are Stressed Out? (How to diagnose Stress)



Effects Of Chronic stress

- **Stress affects us :**
  - -Physically
  - -Emotionally
  - -Behaviorally

Stress Signals

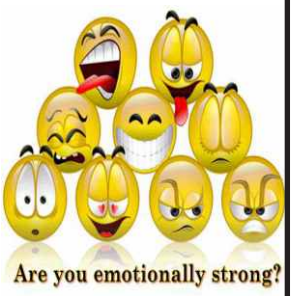
- **Physical :**
  - Headache.
  - Tiredness, burning & watering from eyes.
  - Dryness of mouth.
  - Cold hands & feet.
  - Trembling.
  - Palpitation.
  - Burning or butterfly in stomach.
  - Diarrhoea / constipation.
  - Excessive sweating.
  - Tense or aching muscles.



Stress Signals

- **Mental & Emotional :**

Lack of concentration.
Forgetfulness.
Poor judgment.
Tendency to over react.
Irritability/Short Temper
Nervousness.
Thought block/ excessive thought.



Stress Signals

- **Behavioral :**

Increased/ Decreased Eating.
Smoking/ Alcohol.
Insomnia/ excessive sleep.
Clumsiness.
Speech disturbances.
Absenteeism.



Perceived Stress Scale

The questions in this scale ask you about your feelings and thoughts during the last month. In each case, you will be asked to indicate by circling how often you felt or thought a certain way.

Age Years in Job Department

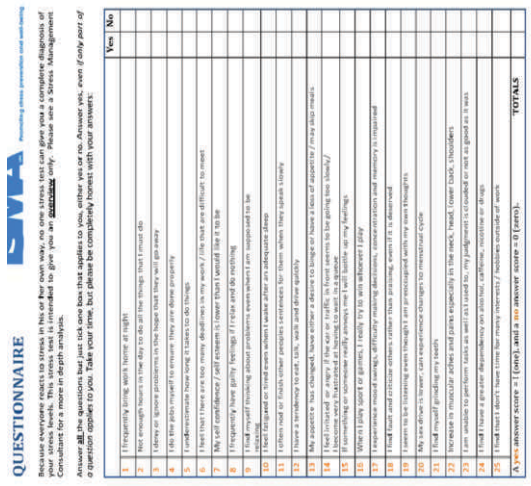
0 = Never 1= Almost Never 2= Sometimes 3= Fairly often 4= Very often

		Score				
1	In the last month, how often have you been upset because of something that happened unexpectedly?	0	1	2	3	4
2	In the last month, how often have you felt that you were unable to control the important things in your life?	0	1	2	3	4
3	In the last month, how often have you felt nervous and 'Stressed'?	0	1	2	3	4
4	In the last month, how often have you felt confident about your ability to handle your personal problems?	0	1	2	3	4
5	IN the last month, how often have you felt that things were going your way?	0	1	2	3	4
6	In the last month, how often have you found that you could not cope with all the things that you had to do?	0	1	2	3	4
7	In the last month, how often have you been able to control irritations in your life?	0	1	2	3	4
8	In the last month, how often have you felt that you were on top of things?	0	1	2	3	4
9	In the last month, how often have you been angered because of things that were outside of your control?	0	1	2	3	4
10	In the last month, how often have you felt difficulties were piling up so high that you could not overcome them?	0	1	2	3	4
	TOTAL					

SCORING – Reverse 4, 5, 7, 8 & add

Norm Table for the PSS 10 item inventory

Category	Mean	S.D.
Gender		
Male	12.1	5.9
Female	13.7	6.6
Age		
18-19	14.2	6.2
30-44	13.0	6.2
45-54	12.6	6.1
55-64	11.9	6.9
65 & older	12.0	6.3



QUESTIONNAIRE

Because everyone reacts to stress in his or her own way, no one stress test can give you a complete diagnosis of your stress levels. This stress test is intended to give you an overview only. Please see a Stress Management Consultant for a more in depth analysis.

Answer all the questions but just tick one box that applies to you, either yes or no. Answer yes, even if only part of a question applies to you. Take your time, but please be completely honest with your answers:

		Yes	No
1	I frequently bring work home at night		
2	Not enough hours in the day to do all the things that I must do		
3	I deny or ignore problems in the hope that they will go away		
4	I do the jobs myself to ensure they are done properly		
5	I underestimate how long it takes to do things		
6	I feel that I have are too many deadlines in my work / life that are difficult to meet		
7	My self confidence / self esteem is lower than I would like it to be		
8	I frequently have guilty feelings if I relax and do nothing		
9	I find myself thinking about problems even when I am supposed to be relaxing		
10	I feel tangled or tired even when I wake after an adequate sleep		
11	I often nod or finish other peoples sentences for them when they speak slowly		
12	I have a tendency to eat, talk, walk and drive quickly		
13	My aspects to has changed, have either a desire to binge or have a loss of appetite / may skip meals		
14	I feel irritated or angry if the car or traffic in front seems to be going too slowly / I become very irritated at hearing to wait in a queue		
15	If something or someone really annoys me I will battle up my feelings		
16	When I play sport or games, I really try to win whenever I play		
17	I experience mood swings, difficulty making decisions, concentration and memory is impaired		
18	I find fault and criticise others rather than praising, even if it is deserved		
19	I seem to be tossing even though I am exceptionally with my own thoughts		
20	My sex drive is lower, can experience changes to menstrual cycle		
21	I find myself grinding my teeth		
22	Increase in muscular aches and pains especially in the neck, head, lower back, shoulders		
23	I am unable to perform tasks as well as I used to, my judgment is clouded or not as good as it was		
24	I find I have a greater dependency on alcohol, caffeine, nicotine or drugs		
25	I find that I don't have time for many interests / hobbies outside of work		
	TOTALS		

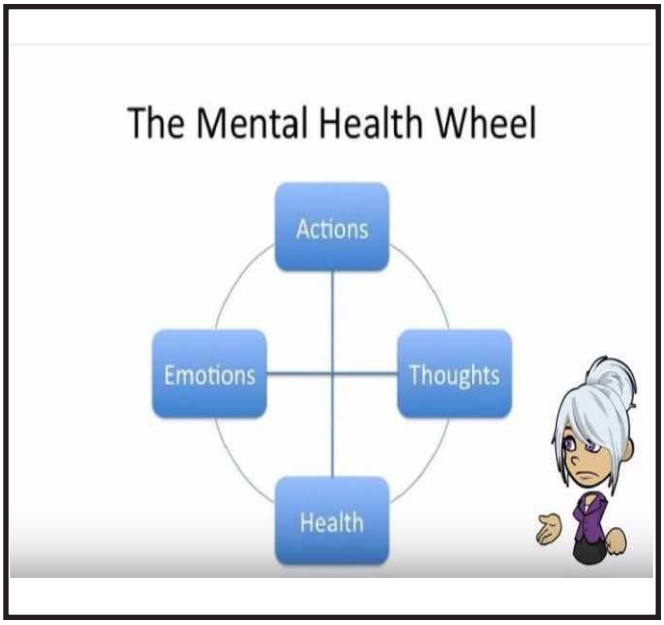
A yes-answer score = 1 (one), and a no answer score = 0 (zero).

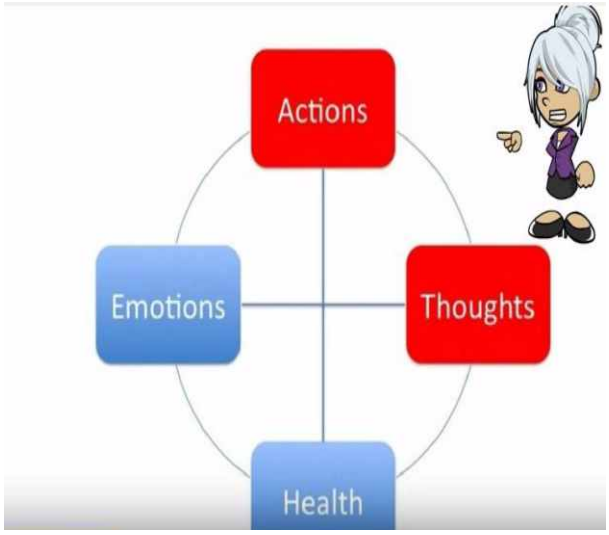
Stress Management Techniques

1. Change the Situation
2. Change your thinking
3. Change your behaviour
4. Change your lifestyle

Change the situations

- If possible, the best solution.
- Most of the times not easy.
- Many a times impossible.
- **Make a list of Stress-full situations & deal with them immediately like:**
  - Wake up early.
  - Don't leave things till last minute.
  - Delegate.
  - Ignore things which are beyond your control.





Change your Thinking

- Single most important thing you can do to reduce your stress.
- Between " Stimulus" & " Stress", there is space & i.e. " Power of Choice".
- Rule of 90-10.
- Ability to reduce stress is ability to choose one thought over another thought.

Change your Thinking

- Re-framing
- Positive thinking

Change your Behaviour

- Be Active
- Be assertive
- Get organised
- Manage your time.
- Ventilation & support system.
- Humour
- Diversion and distraction
- Hobby
- Music
- Reading

Change Your Lifestyle

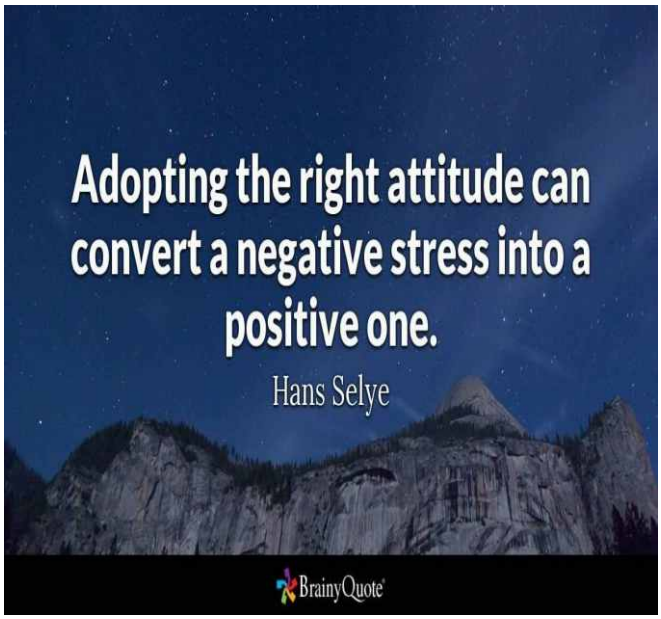
- Diet
- Smoking & Alcohol
- Exercise
- Sleep
- Leisure
- Relaxation
- Meditation

Summary and take home message

- Stress is inevitable you can not avoid it.
- Identify what is causing you stress.
- Recognize what you can change.
- Reduce the intensity of your thoughts/ reactions.
- Change your bhavior & choose healthy life style
- Re-examine your attitudes and 'obligations'.
- Organize yourself.
- Develop emotional supports and use them.
- Let it all out.

Remember that stress doesn't come from what's going on in your life.
It comes from your thoughts about what's going on in your life.

Andrew J. Bernstein



THANKS



RIGHT TO INFORMATION

Right to Information

Objectives:

By the end of the sessions we will be able to:

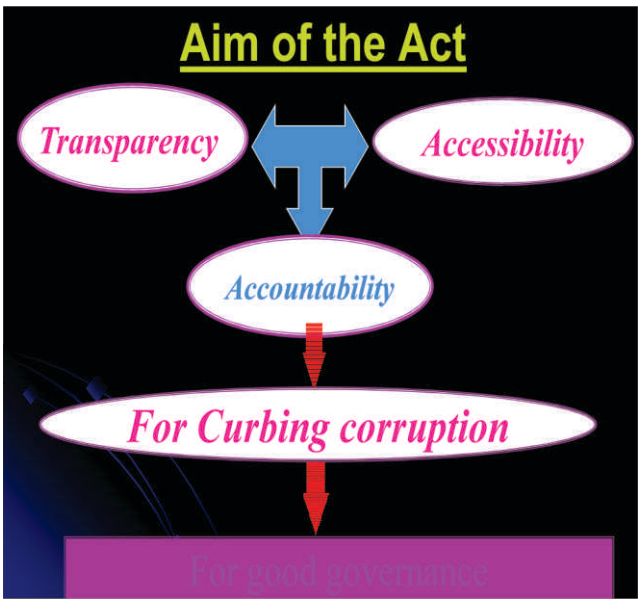
- Differentiate responsibility and liability
- Explain importance of RTI Act
- Identify the exemptions under the Act
- List the time limits for response
- Clear the doubts through case studies
- Describe the Do's and Don't's

- The RTI Act-2005 is a landmark legislation, provides Indian citizens a right to access information, ordinarily under the control of governmental authorities at the federal, state & local body level.
- This Act consisting total 31 Sections bifurcated into 6 chapters, covers the mandatory provisions, rights of the citizens, duties of the public authorities and two tier remedial measures.

Some questions to ponder !

- Is there a need to watch the "Watch men" ?
- If so , can RTI Act be used as "Watch dog"?
- Is RTI Act, an invasion in "Official secrecy"?
- Is provisions of RTI ,an extension to provisions of 'whistle blower' ?
- Are records required to be preserved for longer periods?
- Does RTI Act give any new power ?
- Has Railway became overburdened due to RTI ?
- Is implementation of RTI an unnecessary drainage of Pubic money?
- Is "responsibility" of PIO under RTI Act , actually a " liability" ?

Aim of the Act



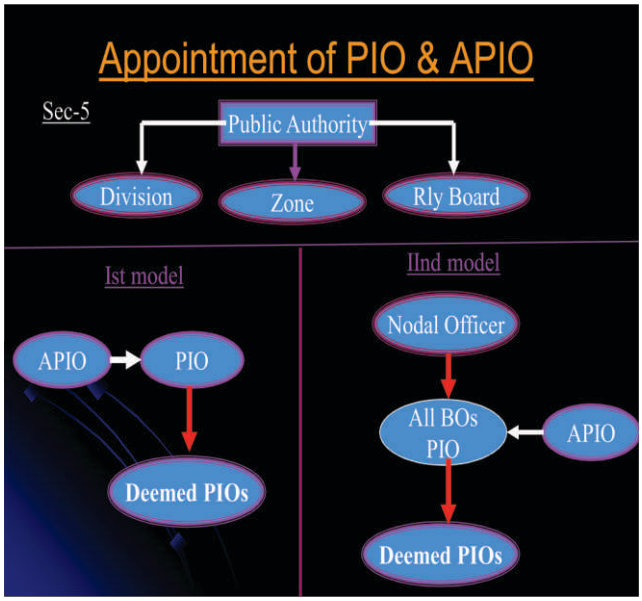
What is Information?

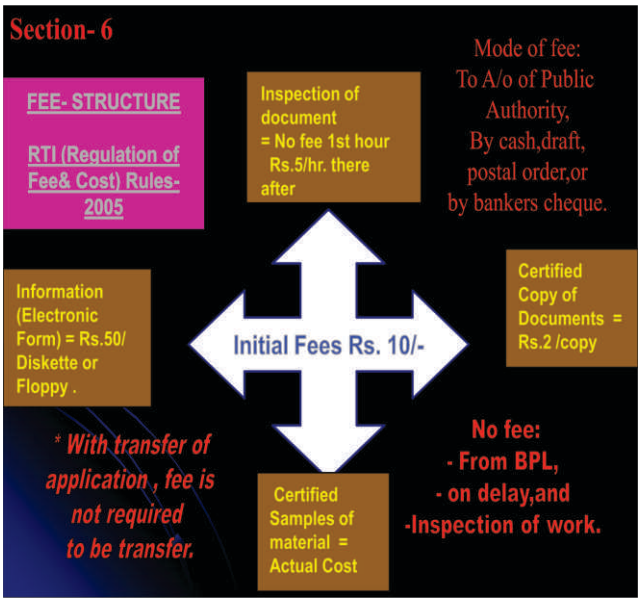
- Information means any material in any form including records, documents, memos, e-mails, opinions, advices, press releases, circulars, orders, logbooks, contracts, reports, papers, samples, models, data material held in any electronic form and information relating to any private body which can be accessed by a public authority under any other law for the time being in force -Section 2(f)

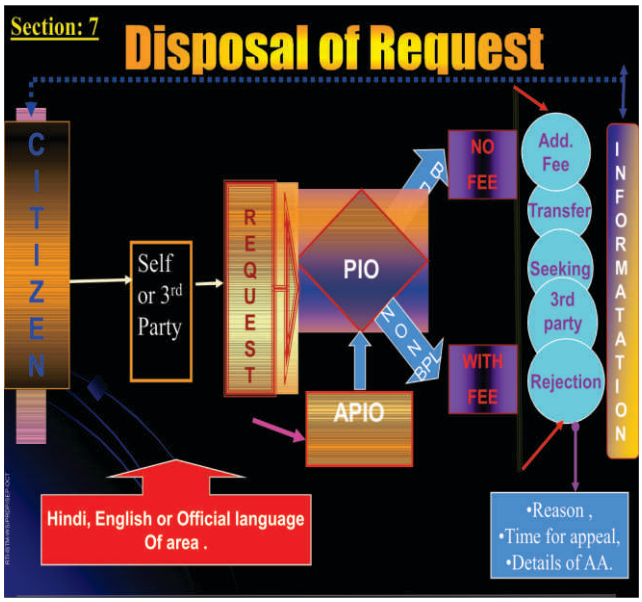
WHAT IS THE RIGHT OF INFORMATION ?

Sec(2)(j)

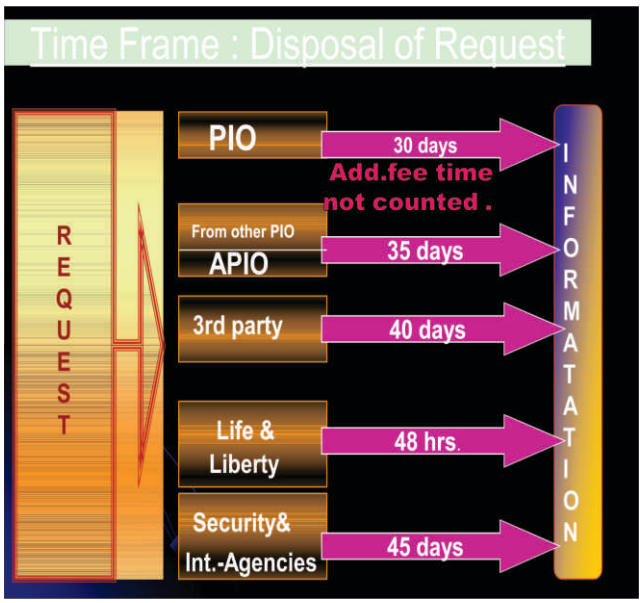
1. inspection of work, documents, records;
2. taking notes, extracts or certified copies of documents or records;
3. taking certified samples of material ;
4. obtaining information in the form - electronic mode .











Exemptions under RTI ACT

Sec -8(1): Grounds for Exemption:

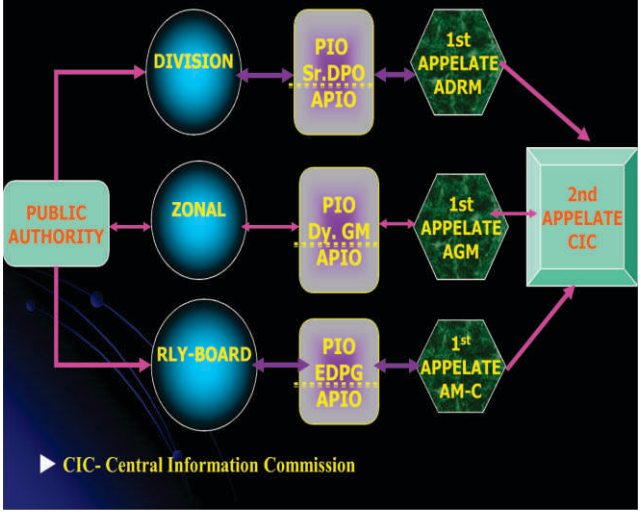
a) Affecting National Security,
b) Forbidden by court or invite contempt of Court,
c) Parliamentary Privileges ,
d) Trade secret subject to larger public interest,
e) Based on Fiduciary relation subject to larger public interest,
f) Foreign government's information,
g) Relating to source of information,
h) Impeding investigation/prosecution.
i) Cabinet papers before final decision,
j) Personal information subject to larger public interest,

→ under section 9: Copyright

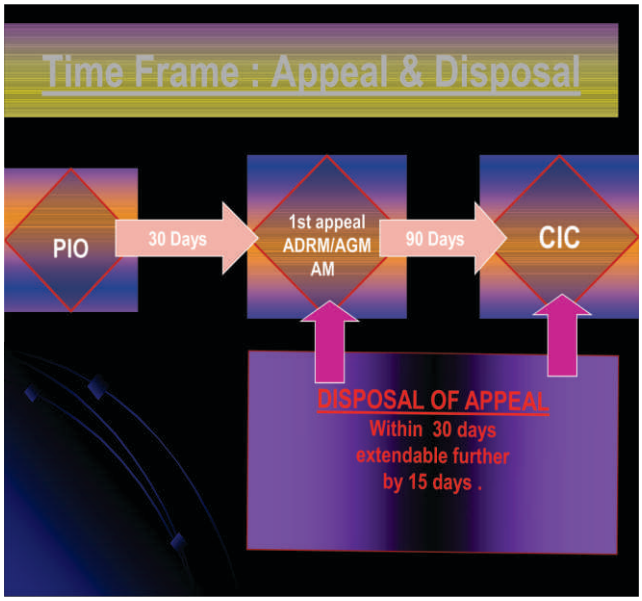
Nullity of Exemptions

- Sec-8(2):
- Notwithstanding anything in the official Secrets Act-1923 nor any of the exemptions permissible in accordance with sec-8(1), a public authority may allow access of information, if public interest in disclosure outweighs the harm to protected interests.

PIO & APPELATE AUTHORITIES



Time Frame : Appeal & Disposal





Central Information Commission

CIC

QUANTUM OF PENALTIES u/s 20

- **Penalty of** Rs.250 per day up to Rs. 25000 will be imposed over PIO till application taken / information furnished by PIO.
- **Disciplinary action** can also be recommended against PIO.
- **Deemed PIO** :If assistance has been sought from other officer u/s 5(4) then for any contravention/delay , other officer shall be treated as deemed PIO.

Spirit of Right to Information Act

Every Public Authority to:

- Provide as much information *suo moto* to the public at regular intervals through various means of communication including Internet so that Public have Minimum Resort to the Use of RTI Act to obtain Information – **Sec 4(2)**
- For the purpose of Sub-Section 4(1), every information shall be disseminated widely and in such form and manner which is easily accessible to the public - **Sec 4(3)**

IMPORTANT JUDGEMENTS

Optimum use of limited fiscal resources:

In the case of Sh. Hitesh Kumar Vs Oriental Insurance Company Limited (Decision No. 570/ICPB/2007 F.No. PBA/06/562 dtd 15th June 2007) the appellant sought for copies of documents & various other details in 62 serials covering the entire gamut of functioning of the insurance company.
The respondent while furnishing a copy of the annual report expressed their inability to collect the other information sought for as being voluminous, and is beyond the available fiscal and human resources of the organisation. He also advised the appellant to visit their website where relevant information was available.

Judgment:
Commission was in full agreement with the decision of CPIO and the AA. The information sought for is so voluminous covering practically the entire gamut of functioning of the company, that it would definitely cause a lot of pressure on the resources of the company. The appellant is at liberty to ask for specific information which would not cause enormous time and efforts to collect and furnish.

Disclosure of Information in DAR case after completion of Inquiry

- In the case of Shri R N Meena V/s CPIO/NWR (No.CIC/OK/A/2006/00059, dt: 07-12-06) The appellant sought disclosure of all the papers relevant to his DAR Case.
- In this case the required information was not given as the case was not over and disclosure at that stage would have impeded the process of investigation.
- On the date of hearing commission observed that as the investigation in Shri R N Meena Case were now over, respondent should provide all the required information and show all the files and documents asked for by the appellant

Names of the Informers in the vigilance case should not be disclosed.

- In the case of Shri T.A. Khan V/s PIO NER (Appeal No. CIC/OK/A/2007/00044 dt: 21.05.07) The appellant sought information of the photocopy of the preventive check report of vigilance in his case.
- The Railways clarified that two stages of DAR Inquiry were over and that the party already had gone to CAT over the issue. Railways also informed the Commission that the document if supplied would hamper the investigation.
- Moreover, the report contained the names of the informers, the disclosure of which was likely to bring harm to these persons.
- The CIC directed the respondents to supply the information to the appellant after concealing the names of the informers'.

Information about members of the Vigilance Team may not be disclosed

- In the case of Dr. K N Gehlot, CPIO/WCR (appeal No. CIC/OK/A/2006/00294 dt: 15.12.06) The appellant sought detail information about various members of Vigilance team who had visited his office in a vigilance case against him.
- The PIO denied the information on the ground that any disclosure of information relating to this inquiry was likely to impede the progress of the case.
- CIC agreed that the respondents had rightly denied the information to the appellant.

Personal Information & Secrecy u/s 8

- A case of Wife of Railway employee :
- A medical report relating to wife of a Rly employee was sought
- Denial of disclosure to third person other than husband of lady as was personal information,
- No objection from husband, again denied by CPIO & 1st appellate authority,
- [S.C.Maheswary case (CIC-2006/252)]

A case of an MLA

- A MLA on surrender sent to jail,
- Within two days, on account of suspected heart ailment shifted to JJ Hospital,
- An information was sought regarding his ailment,
- Objection – Personal information, bar under IMC (Professional conduct , Etiquette and Ethics) Regulations -2002,&not hearing of 3rd party,
- HC directed to disclose subject to hearing of 3rd party (MLA);
- [Surup Singh Hrya Nayk Vs State of Mah/Air 2007 Bombay 121]

Secrecy of Medical bills & Prescriptions

- Medical bills, which identify ailments, prescription etc. are personal information and exempted from disclosure u/s 8(1)(j).
- Expenditure on treatment from govt. fund is not personal information and will be disclosed.
- If one bill contains both name of ailments and fee , it can be disclosed subject to sec-10.
- H.C.Verma V/sIOC/999/IC(A)/2007 dt.06.07.07

Disclosure of stock register of medicine & money available for local purchase

- A lady was admitted in Guru Teg Bhadur Hospital, New Delhi. Even though she, belongs to BPL, she was asked to purchase the medicines from out side the hospital, while medicine should be supplied to her free of cost.
- She had asked from hospital to supply the stock registers of the medicines that they were asked to buy from out side of hospital . She also submitted that the MS has power to purchase the medicine of worth Rs. 1.00.000 in emergency.
- CIC directed the hospital to provide the information.
- Smt. Pushpa V/s Guru Teg Bahadur Hospital/New Delhi-CIC/PB/C/2008/000304/24.11.08.

ACR: NOW NO SECRECY

- Transparency in public administration requires that all entries (whether poor, average, fair, good or very good) in the ACR of a public servant whether in civil, judicial, police, or any other state service (except the military) must be communicated within reasonable period so that a person can make the representation for its up gradation.
- Devdutt V/s UOI & others/AIR2008SC1927 (Decided by SC on-12.05.2008).
- Followed by CIC in Hariram v/s UCO Bank-Appeal No-2360-62/ICPB/2008/Dt.02.06.08.

Meaning of Investigation under RTI Act

- The word 'investigation' used in sec. 8(1) (h) includes all departmental inquiries, verification of records, assessment and so on which may be ordered in specific cases. Such inquiries should taken as completed when disciplinary authority finally decides the innocence or guilt of delinquent. In other words when DAR is finalized.
- CIC/AT/A/ 2006/00039 Dt.1.06.06

Departmental / Vigilance Inquiry & RTI

- **In this case, a disciplinary proceeding was initiated against applicant under the Service Conduct Rules. Applicant had requested for information relating to Disciplinary proceeding. It was denied by PIO u/s 8(1)(h) of this Act. CIC decided that, since applicant is entitle to get the copy under the provisions of Conduct rules to prove his innocence. Therefore, it is advised that appellant should submit a list of required information before competent authority. If, the required information/documents are not supplied to him then only, he can approach to CIC.**
- **[M.K.Gupta Vs. Central Railway-CIC/OK/A/2007/818 , Dt.09 06.2008.]**

NO CREATION OF INFORMATION

- **Sri P.Rawat of Ajmer/NWR, filed an application seeking reason for his transfer.**
- **Not satisfied with the reply of PIO &1st appellate & filed appeal before CIC.**
- **CIC'ORDER:The transfer order was issued in public interest for which no noting was available.Since no noting was available, same can not be created as such requested information did not come under the definition of information under section-2(f). Only those information could be provided , which exists.**
- [Prithwi Raj Rawat v/s NWR/CIC/ OK/A/2007/ 01313/17.03.08.]

NO PENALTY FOR BONAFIED MISTAKE

- There was a delay of 17 days, PIO/NR Smt. Anuradha Singh replied to show cause that due to complete revamping of personal section, there was some logistic problems and also staff dealing the RTI, were under order of transfer. Taking over and handing over of charge took time. As a result, information could not be supplied on time. Commission accepted the plea of PIO and dropped the penalty proceeding .
- Gaya Prasad V/s N.Rly-CIC/OK/A/2006/OO298.

Records have to preserved for longer period

- No such mandate of RTI Act. Records will be preserved as per record retention schedule prescribed by the concerned public authority (Railway Board).
- Govt. of India, Ministry of personnel OM no.1/14/2007-IR Dt.31.10.07.

RTI is not about seeking answers and asking questions [Section 2 (j)]

In the case of Sh. Saidur Rehman Vs CIC
(Appeal No.CIC/AA/A/2006/00032&00034 dt. 22 June, 2007.).
The appellant put the following questions to CIC:-

(I) As to who is responsible for delay in dispatch of a letter from the office of the Commission.

(ii) As to why paragraphs 2 & 3 of the rejoinder submitted by him in his appeal petition were not taken into account while deciding the matter.

(iii) Under which Rule the public authority can demand fee for a document if it has not been supplied within the specified time limit.

(iv) Does the Information Commissioner has power to pass an order contrary to the provisions of the RTI Act and if there is no such power then why the order passed in the aforesaid appeal case be not recalled.

Judgment: In this case the CIC has given a crucial decision that the RTI is not about seeking answers or asking questions.

Motive of person in seeking the information is not to be explored Sec (6.2)

- **In the case of Sh. A.S. Lall Vs. Jt. Commissioner of Police & Appellate Authority (F.No. CIC/AT/A/2006/00075 dt. 2nd June 2006) the applicant sought among other thing copies of license for certain reference and also the dates of inspection carried out by the Delhi Police. The respondents went into the motive for asking these information for deciding about the response. This issue was examined by the Commission and have clearly rejected the procedure of exploring motives.**

"There is no merit in the argument that a restaurant-business is a private matter of its owner, or that it is a matter between the police as the licensing authority and, the restaurant-owner, in which no citizen will, or can, have any interest. Such an interpretation of the law will only help encourage those who tend to benefit from violating laws rather than complying with them."

"We reiterate that in issuing a licence for carrying out a defined public activity or business, the licensing authority discharges a public function. Such a function is not a privileged relationship between the licensor and the licensee, it involves the public. It is hereby directed that the CPIO shall furnish to the appellant the information."

Reasons for rejection of requests for information must be clearly provided (Section 8(1) of the RTI Act)

In the case of Dhananjay Tripathi vs. Banaras Hindu University (Decision No. CIC / OK / A/ 00163, dated 7.7.2006), the applicant had applied for information relating to the treatment and subsequent death of a student in the University hospital due to alleged negligence of the doctors attending him.

The appellant was, however, denied the information by the PIO of the University saying that the information sought could not be provided under Section 8(1)(g) of the RTI Act. No further reasons as to how the information sought could not be provided under the RTI Act was given.

Judgment: The Commission held that quoting the provisions of Section 8(1) of the RTI Act to deny the information without giving any justification or grounds as to how these provisions are applicable is simply not acceptable, and clearly amount to malafide denial of legitimate information.

The public authority must provide reasons for rejecting the particular application.

The Commission further held that not providing the reasons of how the application for information was rejected according to a particular provision of the Act would attract penalties under Section 20(1) of the Act.

Documents pertaining to the on going CBI case (Sections 8(1)(e) and 8(1)(h)/RTI Act)

- **In the case of A.L. Motwani vs. the CPIO, ITI Limited, Bangalore (F.No. CIC/AD/A/2009/000109, dated 10.02.2009), the applicant had sought documents pertaining to the on going CBI case.**
- **Judgement: CIC allowed the appeal and directed ITI Limited to provide the information sought by the appellant.**
- **It ruled that since the charge sheet has already been submitted and the case is in progress in the CBI Court, disclosing the documents asked for cannot in any way impede the investigation process. The documents asked for by the requestor also do not form the part of Court record and there is also no order of CBI Court restraining the public authority from disclosure of information. Accordingly the provisions of Section 8(1)(e) and 8(1)(h) are not attracted.**

Copy of SP, CBI's report (Sections 8(1)(g), 8(1)(j), 8(1)(h) and 10 (1) of the RTI Act)

- In the case of D.P. Maheshwari vs. CBI (Appeal No. CIC / WB / A /2008 /0269 and 270, dated 25.8.2009), the appellant sought the copy of the SP, CBI's report. In response to the application, SP, CBI responded that SP's report is an confidential document and hence exempted under 8(1)(h) of the RTI Act.
- CBI also took the plea that the SP's report being sought is connected to the high profile scam in the State of Bihar amounting to Rs.200 crores.
- Judgement: The plea of exemption under Section 8(1)(j) cannot be applied as the appellant is asking for information about his own case. Even if the report contains personal information about others, the principle of severability under Section 10(1) can be applied. The Commission agreed that disclosure of complete report may impede the process of investigation and amount to invasion of privacy of the persons mentioned in the report. As such Section 8(1)(g) is applicable. However, since the appellant is not the accused the information regarding him can not be held to be such as to impede the process of investigation or prosecution.
- *Accordingly part of information exonerating the appellate may be provided as per Sub Section 1 of Section 10 of the RTI Act.*

Copies of the Confidential Reports (Section 8(1)(j) /RTI Act)

- In the case of N. Krishnamoorthy vs. MTNL, Mumbai (F.No. CIC/AD/A/X/2009/000154, dated 24.3.2009), the applicant had sought the copies of his own CRs (reporting and reviewing parts) for the 10 years spanning from 1998 to 2008 along with the copies of the certificates regarding completion of CR work and forwarding letters of the applicant's CR.
- Judgement: The CIC mandated for disclosure of information sought. The Commission referred to the full bench decision of CIC passed vide Order dated 19.02.2009 in appeal No. CIC/WB/A/2007/00422 concerning disclosure of ACRs and also referred to the Supreme Court's decision in Devdutt vs. Union of India [Ors (2008)8 SCC 723] and decided that the complete information sought by the appellant, meaning certified copies of ACRs shall be provided.

Information relating to empanelment of officers as approved by ACC for promotion to the higher posts (Sections 8(1)(e), 8(1)(i) and 8(1)(j) /RTI Act).

- In the case of Ms. V. Chamundeswari vs. Department of Revenue Appeal No. CIC/AT/A/2009/000277, dated 5.3.2009), the applicant had asked for the list of officers who were empanelled as members in Central Board of Excise and Customs. The public authority refused the information on the plea that it was prepared by the DOPT with the approval of ACC and classified as secret and confidential in nature and claimed exemption under Section 8(1)(e), 8(1)(i) and 8(1)(j) of the RTI Act, 2005.
- Judgement: Commission in its decision stated that empanelment process and approved list of empanelled officers are by no stretch of imagination, personal information of any third-party. Empanelment is a system established by the government to make informed choices about appropriate officers to man higher positions and thus it is related to governance. Commission also overruled the claim of fiduciary relationship and rejected application of exemption under Section 8(1)(e).
- In Para 21 of the decision, Commission mentioned that the Government has removed all secrecy from the approved panels of IAS and IPS officers and accordingly panels of IRS officers should also follow the same policy. Commission accordingly ordered for the disclosure of the information.

Evaluated answer sheets (Sections 2(n), 8(1)(g) and 11(1) of the RTI Act, 2005 and Section 124 of the Indian Evidence Act).

- In the case of Sh. Ashok Kumar Arora vs. IIT, Roorkee (Appeal No. CIC/80/A/2009/00124, dated 29.05.2009), the applicant is the father of an unsuccessful candidate who took the IIT examination in the year 2008. He wishes to have access to the evaluated answer sheets in order to satisfy himself with the quality of the evaluation process. Respondents declined to disclose the information citing Section 8(1)(g). They pointed out that the IIT entrance examination was a mass examination and disclosing evaluated answer sheets will virtually crash the system.
- Judgement: The full bench decision of the Commission dated 23.4.2007 made a distinction between mass examination and examinations like Department tests conducted by public authority with a limited scope and range and it was emphasized that while in the latter case, answer scripts can be disclosed, but in the mass examination disclosing answer scripts virtually destroy the system.
- Disclosure of the evaluated answer sheets of the IIT examination was denied by the Commission on the grounds that the Public Authority had announced prior to the conduct of the public examination that the evaluated answer scripts would not be disclosed no matter what the purpose. Accordingly all the stakeholders were aware of the provision before appearing in the examination.
- Commission agreed that there was public interest in non-disclosing of the information, as such disclosures can bring in the entire system of examination under extreme pressure. The Commission also brought out that information may be blocked from disclosure in case the public authority makes out a persuasive case for non-disclosure under Section 11(1) of the RTI Act over and above the exemptions available in Section 8(1).

Frivolous applications not to be entertained

- In the case of S.K. Lal vs. Ministry of Railways (Appeal No. CIC/OK/A/2006/00268-272, dt: 29.12.2006) the applicant had filed five applications to the railway authorities asking for " all the records" regarding various services and categories of staff in the Railways.
- The public authority, however, did not provide him with the information requested.
- Judgement: The Central Information Commission observed that though the RTI Act allows citizen to seek any information other than the 10 categories exempted under Section 8, it does not mean that the public authorities are required to entertain to all sort of frivolous applications.
- The CIC held that asking for "all the records" regarding various services and categories of staff in the railways, " only amounts to making a mockery of the Act."

Record not Available

Shri V. M. Sharma v. Northern Railway, Baroda House, New Delhi
(No. CIC/OK/A/2006/00367-368, dtd 5.2.2007)
Bench: Dr. O. P. Kejariwal

Weeded out record: The Commission noted that the records sought, as informed by the respondent, had been weeded out as per the rules
– the Applicant to take up the issue with the department concerned in case he noticed that any record which did not fall under the weeding out rules had also been destroyed.

Record not Available

Shri Jagdish Ahuja, Delhi v. Central Board of Secondary Education, Delhi
(No. CIC/OK/A/2006/00137 dtd. 9.8.2006)
Bench: Dr. O. P. Kejriwal

Poor Records: Details regarding those unaided schools which were being run on private land in Delhi sought – little authentic information available and that is scattered in various files – The Commission held that proper record management is an inherent part of the Right to Information, and so it was important for the CBSE to have its firm database on computer – the Commission directed CBSE to make their record management more systematic and supply the requested information.

Voluminous Information

Shri S. D. Ramola v. Railway Board
(No. CIC/OK/A/2007/01346, dtd. 3.4.2008)
Bench: Dr. O. P. Kejariwal

Reason for denial: Information relating to the promotion of Personal Assistants and Assistants sought – information denied u/s 7(9) holding that the information asked for was very voluminous spread over 20 years – the Commission did not accept the submission of the Respondents as no details whatsover had been given for denial of the information – a bland statement to the effect that the information is voluminous will not serve the purpose – the Commission directed the Respondents to disclose the information which is readily available – the Respondents may also ask the Appellant whether he can scale down his demand for information.

Voluminous Information

Shri Bijay Kumar Das v.South Eastern Railway, Chakradharpur
(No. CIC/OK/C/2006/00149, dtd. 16.3.2007)
Bench: Dr. O. P. Kejriwal

Loading and unloading of material in the yard: Information regarding loading and unloading of coal, minerals, ballast, etc. in the Birmitrapur Railway Yard of SER sought – the CPIO informed that the information had to be gathered and consolidated from different registers, statements, etc. maintained at that Station – the appellant was requested to visit the office of the Station Manager, Birmitrapur, to see the records in person – the Commission felt that the request was in the interest of the Appellant – however, since the appellant wants the information to be sent to him, the Commission directed the Respondents to do so immediately.

Application for information

Shri A. Gangopadhyaya v. South East Central Railway, Bilaspur
(No. CIC/OK/A/2006/00453, dtd. 2.2.2007
Bench: Dr. O. P. Kejriwal

Application for Information: The Appellant asked for 20 items of information each of which related to a different department/activity – the appellant was asked to put in separate applications for each of the items of information – the respondents reply upheld by the Commission.

Application for information

Shri Ajit Gupta v. Delhi Development Authority
(Complaint No. CIC/WB/C/2006/00086, dtd. 9.5.2006)
Bench: Shri Wajahat Habibullah

Section 5(3): The Commission held that a standard application cannot be mandated – it is to be treated as an easing of processes – its absence cannot be grounds for rejection of an application – it is incumbent upon PIO to render reasonable assistance to person seeking information.

Exemption from disclosure

Ms. Suchitra J. Y., Bangalore v. Indira Gandhi Centre for Atomic Research, Kalpakkam
(Appeal No. CIC/WB/A/2006/00878, dtd. 10.9.2007)
Bench: Shri Wajahat Habibullah

Costs for core fabrication of the nuclear reactor: Details of costs for core fabrication of the nuclear reactor were denied u/s 8(1)(a) on the ground that the disclosure would prejudicially affect the scientific interests of the State – The appellant argued that she was interested in knowing the costs because there were serious doubts regarding the economy of the technology used – The Commission observed that any information regarding costs will indicate what is happening inside the reactor and what are its components – The disclosure of information can have unforeseen ramifications because of the sensitivity in the nature of the project on which the information is sought – Appeal dismissed.

Exemption from disclosure

Ms. Anju Musafir v. Ministry of External Affairs
(No. CIC/OK/C/2006/00177 dtd. 26.3.2007
Bench: Dr. O. P. Kejariwal

Visa – Section 8(1)(a): The reasons for non-issuance of visa to a French national who wanted to come to teach at the Mahatma Gandhi International School in Ahmadabad demanded – The respondents took refuge u/s 8(1)(a) and stated that it was an established international practice that when a Visa was refused, no reasons were to be given to the applicant – The Commission accepted this submission.

Exemption from disclosure

Shri Dhirendra Prasad v. Bharat Sanchar Nigam Limited
(Decision No. 3021/IC (A)/2008, dtd. 7.8.2008)
Bench: Prof. M. M. Ansari

Commercial activities: The appellant asked for details of the franchisees who were given sale rights of SIM cards and Recharge Vouchers, copies of agreement executed, number of SIM cards received and sold and commission received by them – the Commission held that the information pertains to commercial activities of the respondent – upheld the denial of information u/s 8(1)(d).

Exemption from disclosure

Shri S. C. Agarwal v. Ministry of Home Affairs
(Appeal No. CIC/WB/A/2008/01160, dtd. 29.8.2008)
Bench: Shri Wajahat Habibullah

Names considered by the Padma Awards Committee for Padma Awards: The Commission held that it will not be proper if the personal information concerning certain personalities who were recommended but not considered for grant of the Award for any reason, is disclosed and made public – it will surely be at the least a social embarrassment and may amount to invasion of privacy – the disclosure of information, which may be an adverse report from Investigating / Intelligence Agencies, even if this is not spelt out in detail and which is otherwise 'personal' and covered u/s 8(1)(j), may not be disclosed unless there is compelling larger public interest justifying such disclosure in a particular case.

Exemption from disclosure

Shri Abdul Waish Abdul Aziz Shaikh v. Central Railway, Solapur
(No. CIC/OK/A/2006/00734 dtd. 3.5.2007)
Bench: Dr. O. P. Kejriwal

Rail Travel: Details of travel by rail by a third person sought from railways – The Commission observed that the information is personal information and hence exempted u/s 8(1)(e) – Further, the information is not available as the concerned reservation forms and charts of period prior to six months had been destroyed.

Third Party

Dr. U. C. Lavania v. Council of Scientific & Industrial Research
(F.No. CIC/AT/A/2008/00102, dtd. 8.8.2008)
Bench: Shri A. N. Tiwari

Work report: The work report filled by a Scientist of NBRI, Lucknow for his assessment promotion was sought – the Commission held that there is no reason to seek details of the Research work and the Intellectual Property Rights –related documents of a third-party – there was danger to the third-party's interest in disclosing this information to the appellant.

Third Party

Smt. K. P. Usha Devadathan, Malappuram
v. State Bank of Travancore
(No. 2370/ICPB/2008, dtd. 2.7.2008)
Bench: Smt. Padma Balasubramanian

Husband's Pension Papers: The Commission observed that the appellant is seeking information in respect of her husband's pension papers, which cannot be given without his consent.

Service Matters

Shri J. Neelakantan, Tamil Nadu v. Southern Railway
(No. CIC/OK/A/2007/00377, dtd. 20.8.2007)
Bench: Prof. M. M. Ansari

Reasons for non inclusion for promotion: The reasons for non-inclusion of the appellant's name in the list of promoted candidates sought- The CPIO refused the information u/s 8(1)(e) – The Commission held that u/s 4(1)(d) every public authority is expected to "provide reasons for its administrative or quasi-judicial decisions to affected persons" – directed to inform the appellant the reasons for non-inclusion of his name in the list of promoted candidates.

Contd....

Question papers and Model answers: The appellant asked for copies of question papers along with model answers for CPLG and ATPL Examinations conducted by DGCA –

The Commission observed that the Pilot's License Examination is a professional examination for recruitment of pilots the question bank of which is very limited, about 500 questions, which are frequently repeated in every quarterly examination –

Therefore, the disclosure of question papers for such examinations would enable to qualify the examination without having acquired the requisite knowledge and skills for discharging of professional duties ad responsibilities – Lack of adequate knowledge and competence of pilots would endanger the life and safety of people – In view of this, the denial of information, u/s 8(1(d) is justified.

Service Matters

Shri Bhabaranjan Ray, Kolkata v. Rly. Bd.
(No. CIC/OK/A/2006/00685 dtd. 26.4.2007)
Bench: Dr. O. P. Kejriwal

DPC Proceedings, ACR: The Commission observed that the Department gave proof of its totally negative and casual attitude to the Act by changing the ground from section 8(1)(j) to 8(1)(i)- in the interest of transparency, the Appellant may be disclosed the files / records / documents which led to his being denied promotion to SAG grade from selection grade – There is no reason why the appellant should not shown his own ACRs together with those who had been promoted to SAG in the DPC held in 1998- ACRs by their nature are confidential but on the other hand they are also in the public domain and through an ACR no public authority should unjustifiably either favour or deny justice to a concerned employee.

Service Matters

Shri Ramchandra S. Menon, Mumbai v. IIT, Mumbai
(No. CIC/OK/A/2006/00311 dtd. 28.12.2006)
Bench: Dr. O. P. Kejariwal

Supersession - Disclosure of Service Record: Service record of a colleague was denied as third party information by the respondent- The Commission observed that ordinarily disclosure of the personal service record of a person would be regarded as third party information- In this case, the appellant wanted to see the record of a person who had superseded him- For transparency in Administration, the part of the service record having a bearing on the case of supersession to be shown to the appellant.

Service Matters

Shri G. N. Kumar, Jabalpur v. WCR, Jabalpur
(No. CIC/OK/A/2006/00413-416, dtd. 16.11.2006)
Bench: Dr. O. P. Kejriwal

Proceedings of the Selection Committee: The Commission observed that certified copies of the proceedings of selection committee are completely in public domain – denial u/s 8(1)(j) not tenable as the selection process was already over – The PIO is directed to supply the information to the Appellant applying doctrine of severability as provided in section 10(2).

Examination

Shri R. S. Shukla v. Northern Railway
(Decision No. 1815/IC(A)2007, dtd. 9.1.2008)
Bench: Prof. M. M. Ansari

Marks awarded to candidates: The appellant asked for information relating to marks awarded to the candidates in the departmental examination – the CPIO refused to furnish the information u/s 8(1)(j) holding that the relevant information cannot be disclosed to parties other than the candidates – The Commission accepted the CPIO's contention.

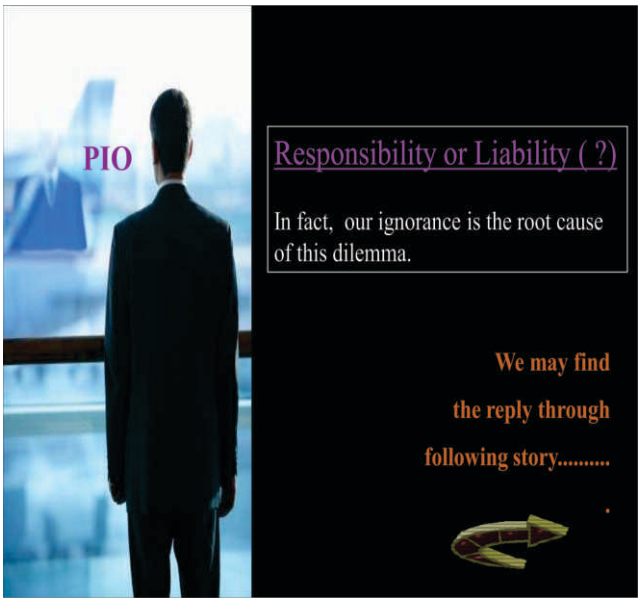
Examination

Shri Gopal Sharma v. Western Railway, Jaipur
(Appl. No. CIC/OK/A/2006/00479 & 539, dtd. 5.2.2007)
Bench: Shri O. P. Kejariwal

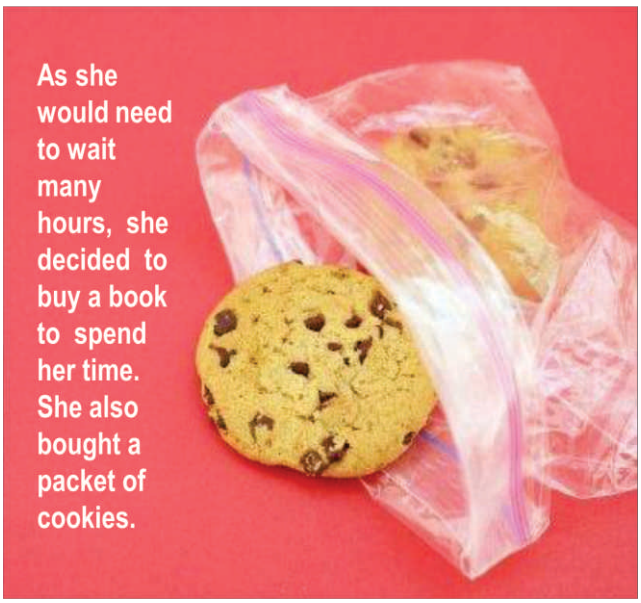
Marks obtained in nullified examination: Marks obtained by candidates in the examination for promotion were not disclosed on the ground that the procedure was challenged in Court which had ordered to conduct the entire procedure afresh that from the stage of the Interview – The Commission noted that one stage of the process of selection was over and there was no direction from the Court forbidding the disclosure – the Commission directed that the marks obtained earlier in the written examination and the interview should be disclosed.

3rd Party does not have Veto

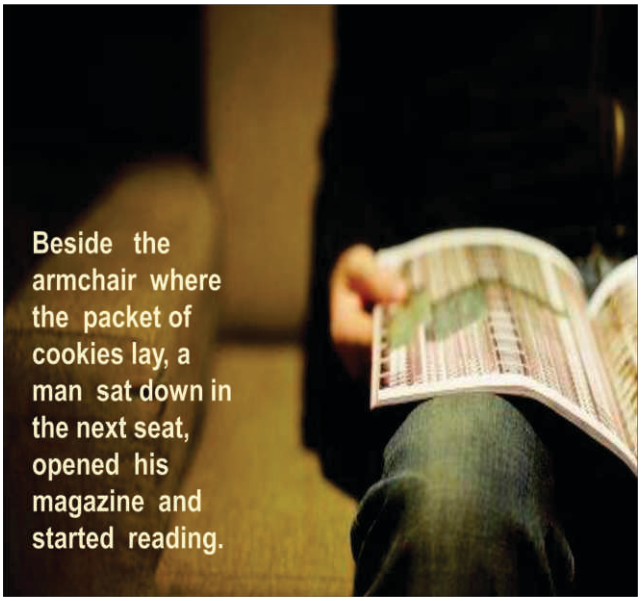
- Appellant: Mr. Vinod Kumar
- Respondent: Mr. S. C. Yadav, Public Information Officer & Joint Assessor and Collector;
- The Appellant had sought copies of receipts of payment of house tax in respect of property no. 25 Panna Uddyan, Narela for the period 2004-05 to 2008-09 amounting to Rs.1862- having G-8 no. 147010. The PIO has sought the views of the third party who has objected in giving the copy of the receipt. Based on this the PIO refused to give the copy of the receipt under Section-11.
- The PIO has erred in refusing to give the information ***since Section-11 is only procedural section which requires the PIO to inform the third party if he intents giving information which 'relates to or has been supplied by the third party and has been treated as confidential by that third party'.***
- It must be understood that denial of information under RTI Act can only be based on the exemption under Section 8(1) and no third party is given a veto over disclosing information. In the instant case the information being sought was a photocopy of the receipt of payment and there was no requirement to seek any view of the third party. A payment receipt issued by a public authority cannot be considered exempt under any of the provisions of Section 8(1). The PIO is warned to ensure that he denies information only on the basis of exemptions specified under Section 8(1).











When she took out the first cookie, the man took one also. She felt irritated but said nothing. She just thought:
" What a nerve! If I was in the mood, I would punch him for daring!"





For each cookie she took, the man took one too.

This was infuriating her but she didn't want to cause a scene.

When only one cookie remained, she thought:
"ah... What this abusive man do now?"

Then, the man, taking the last cookie, divided it into half, giving her one half.





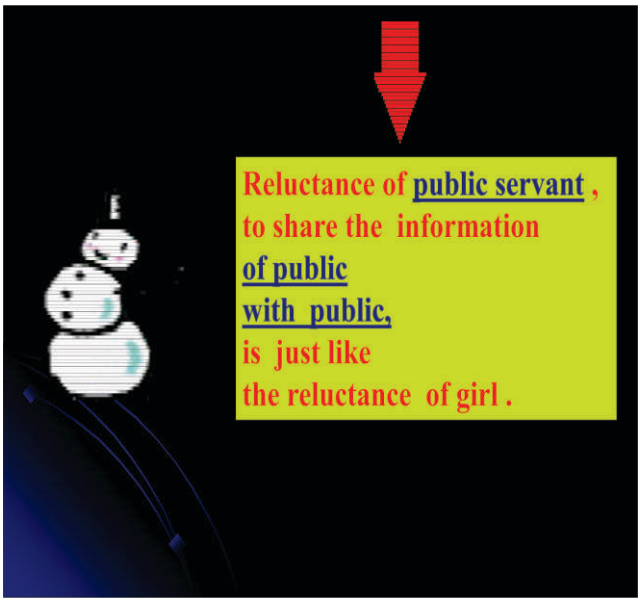
Ah! that was too much !

She was much too angry now!

In a huff, she took her book, her things and stormed to the boarding place.

When she sat down in her seat, inside the plane, she looked into her purse to take her eye glasses, and, to her surprise, her packet of cookies was there, untouched, unopened!







This is the truth: If you can believe !



कर्मणोह्यपि बोधव्यं
बोधव्यं च विकर्मण:।
अकर्मणश्च बोधव्यं
गहना कर्मणो गति:।।

(Bhagavadgita Chap. 4)

"Truth about the *ACTION* must be known
Truth about the *INACTION* must be known;
Truth about the *PROHIBITED ACTION*
must be known
Mysterious are the ways of *ACTION*"

HAVE A EVERLASTIG MEMORY

RAILWAY ACT

Railways Act-1989



Objectives:

By the end of sessions we will be able to:

- Explain the background of Railways Act, 1989
- Identify the chapter wise classification
- Describe penalties and offences
- Illustrate power of RPF for arrest and prosecution.

BACK - GROUND

Indian Railways Act-1890

⬇

The Railways Act-1989

⬇

Amendment – 1994

⬇

Amendment – 2003

⬇

Amendment-2005

⬇

Amendment-2008

Introduction

Chapters:

I – Preliminary / Definitions .

II- Railway Administrations .

II-A- Rail Land Development Authority

III- Commissioners of Railway Safety .

IV- Construction and Maintenance of works

IV-A- Land Acquisition for Special Railway Project

V- Opening of Railways

VI- Fixation of Rates

VII- Railway Rates Tribunal

VIII -Carriage of passengers

IX – Carriage of Goods

X – Special provision as to Goods booked

XI- Responsibility of Railway Administration as carriers

XII- Accidents.

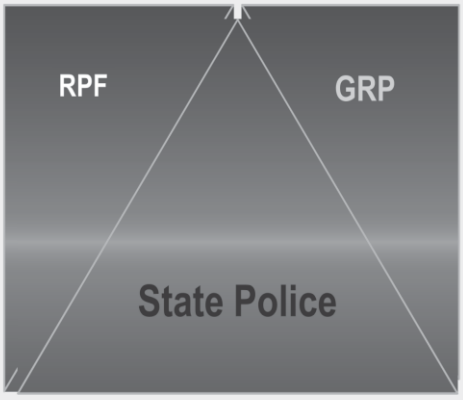
XIII- Liability of Railway Administration for death and injury to passengers due to accident.

XIV- Regulation of Hours of Work and Period of Rest Rules

XV- Penalties and offences.

XVI- Miscellaneous.

Agencies Responsible for Railway Security



Amendment in Railway Act :

Enhanced role of Railway in passenger security.

Major duties of RPF (u/s-11 of RPF Act-1957)

Prior to amendment in 2003:

- To protect & safeguard the Railway property.
- To do any other act conducive to the better protection &security of Railway property.

After amendment in 2003:

- To protect & safeguard the Railway property, passenger & passenger area.
- To do any other act conducive to the better protection &security of Railway property, passenger & passenger area.

Chapter-XV

PENALTIES & OFFENCES

Penalties & Offences covered under Sections 137 to 182 of Railways Act 1989

PENALTIES FOR WITHOUT TICKET



Sec.137-Fraudulently traveling or attempting to travel without proper pass/ticket by a person -6 months imprisonment or fine up to Rs.1000 or both in addition to payment of ordinary single fare plus excess charge.

Sec.138- Levy of excess charges and fare for traveling without proper pass or ticket or beyond authorized distance by a passenger. Liable to pay ordinary single fare plus excess charge. If accused fails to pay said sum, may be liable for imprisonment of one month.

PENALTY FOR TRANSFER OF TICKETS (TOUTING)

Sec.142-Penalty for transfer of ticket-Imprisonment up to three months or with fine up to Rs. 500/- or both.

Sec.143- Unauthorized carrying on of business of procuring and supplying of Railway tickets-Imprisonment up to three years or fine up to Rs.10,000/- or both.

PENALTY FOR HAWKING / BEGGING/ NUISANCE/ TRESSPASS

Sec.144-Prohibition on hawking, begging etc-Imprisonment up to one year or fine up to Rs.2000/- or both.

Sec.145-Drunkenness or nuisance – Imprisonment up to six months and fine up to Rs.500/-

Sec.147-Trespass –Imprisonment up to six months or fine up to Rs.1000/- or both.

PENALTY FOR UNNECESSARY INTERFERENCE

Sec.141-Needlessly interfering with means of communication in a train-Imprisonment up to one year or fine up to Rs.1000 or both . (ACP)

Sec.146-Obstructing Railway servants in his duties-Imprisonment up to 6 months or fine up to Rs.1000/- or both.

Sec.174-Obstructing running of trains (Railway Servant or outsiders)-Imprisonment up to two years or fine up to Rs.2000/-or both.

PENALTY FOR FALSE STATEMENT/CLAIM

Sec.148- Making a false statement for compensation under Section 125-Imprisonment up to 3 years or fine or both .

Sec.149-Making a false claim for compensation-Imprisonment up to three years or fine both .

Section 163-Giving false accounts on goods-Fine up to Rs.500 for every quintal.

SERIOUS OFFENCES(GRP)



Sec.150-Maliciously wrecking or attempting to wreck a train-Imprisonment for life or with rigorous imprisonment for 10 years or death sentence .

Sec.151-Damage to or destruction of certain railway properties-Imprisonment upto 5 years or fine or both.

Sec.152-Maliciously hurting or attempting to hurt persons traveling by Railway-Imprisonment for life or for a term upto 10 years.

PENALTY FOR ENDANGERING SAFETY OF PASSENGERS/SELF

Sec.153-Endangering safety of persons traveling by Railways by willful act or omission-Imprisonment up to 5 years.

Sec.154-Endangering safety of persons traveling by Railway by rash or negligent act or omission-Imprisonment up to one year or fine or both

Sec.156-Traveling on roof, step or engine of a train-Imprisonment up to three months or fine up to Rs. 500/- or both .

Sec.175-Endangering safety of passengers (Railway Servants)-Imprisonment up to 2 years or fine or both.

PENALTY FOR CAUSING INCONVENIENCE TO PASSENGERS

Sec.155-Entering into compartment reserved or resisting entry into a compartment not reserved-Fine upto Rs.500/- .

Sec.162-Entering carriage or other place reserved for females-Fine up to Rs.500/

Sec.166-Defacing public notices-Imprisonment up to one month or fine up to Rs.500/- or both .

Sec.167-Smoking-Fine of Rs.200/-

OFFENCE RELATING TO LEVEL CROSSING GATE

Sec.160-Opening or breaking of a level crossing gate-Imprisonment up to 3 years for opening and up to 5 years for breaking .

Sec. 161-Negligently crossing unmanned level crossing-Imprisonment up to 1 year.

Sec.176-Obstructing level crossing (Railway Servants)-Fine of Rs.100/- .

CARRYING OFFENSIVE / DANGEROUS GOODS

Sec.164-Unlawfully bringing dangerous goods on Railways-Imprisonment up to 3 years or fine up to Rs. 1000 or with both and also will be liable for any loss, injury or damage which may be caused by reason of bringing such goods on Railways.

Sec.165-Unlawfully bringing offensive goods on Railway-Fine up to Rs. 500/- and shall also be liable for any loss, injury or damage.

OFFENCES BY RAILWAY SERVANT

Sec.172-Penalty for intoxication (Railway Servant) - Imprisonment up to 1 year or fine or both .

Sec.173-Abandoning train without authority-Imprisonment up to two years or fine up to Rs.1000/- or both.

Sec. 177-False returns (Railway Servants)-Imprisonment up to one year or fine up to Rs.500/- or both.

MISCELLANEOUS OFFENCES

Sec.157-Altering or defacing pass or tickets-Imprisonment up to three months or fine up to Rs. 500/- or both.

Sec.159-Disobedience of drivers or conductors of vehicles to directions of Railway Servants-Imprisonment up to one month or fine up to Rs.500/- or both .

Sec.168-Offences committed by children under 12 years of age-Guardian to give a bond for such amount and for such period as the court may direct for good conduct of the child .

POWER OF ARREST

Sec.179 (1) Arrest for offences under sections - 150,151 & 152 :- Offender may be arrested without warrant by any Railway Servant or Police Officer not below the rank of a Head constable.

Sec.179(2) If any person commits any offence mentioned in Sections 137 to 139, 141 to 147, 153 to 157, 159 to 167 and 172 to 176, he may be arrested, without warrant or other written authority by an "officer authorized" .

Sec.180(1): Arrest of persons likely to abscond, etc- Any person committing offence under this Act , other than offences mentioned in Sec. 179(2) .

Person refusing to give excess charge and also refusing to give his name and address,

or

Gives incorrect address ,

or

Person likely to abscond.

POWER OF INVESTIGATION

Section 180- A :

- For ascertaining facts & circumstances of a case, the officer authorized may make an inquiry into the commission of an offence mentioned in Sec. 179(2) and may file a complaint in the competent court if the offence is found to have been committed.

Section 180-B :

- While making an inquiry, the officer authorized shall have power to :-
- Summon & enforce attendance of any person and record his statement;
- Require the discovery & production of any document;
- Requisition any public record or copy thereof from any office, authority or person;
- Enter & search any premises or person & seize any property or document relevant to the subject matter of inquiry.

Section 180-c:

Forwarding of arrested person to officer authorized, if arrest made by other person,

Section 180-D:

(a) Power of Inquiry by Officer authorized against arrested person-At par with power of police , (b) Forwarding of arrested to Jail or release on bail depending upon sufficiency of evidence,

Section 180-E :

All searches, seizures and arrests shall be made in accordance with the Criminal Procedure Code- 1973.

Section 180-F :

-No court shall take cognizance of an offence mentioned in sub-section (2) of section 179 except on a complaint filed by an officer authorized,

Section - 180-G:

-Punishment for insults or causes any interruption or making false statement in the inquiry proceedings(6month jail or Rs1000 fine or both ,

OFFICER AUTHORISED

(i) According to GOI Notification dt.17th May 2004 S.O.593(E) : The Central Govt. has notified all the officers of & above the rank of Asst. Sub-Inspector in the Railway Protection Force as the "Officer authorized" for the purposes of this Act.

(ii) According to GOI Notification dated 2nd Aug. 2004 S.O.874(E) : Officer not below the rank of a Group "C" officers of the Commercial, Operating or Vigilance Department in the Ministry of Railways as the "Officer authorized" for the purposes **of section 179.**

PROTECTION OF ACTION IN GOOD FAITH

- **(Section-186)**
- No suit, prosecution or other legal proceeding shall lie against the Central Government, any railway administration, a railway servant or any other person for anything which is in good faith done or intended to be done in pursuance of this Act or any rules or orders made there under.

MAGISTRACY

Courts of Special Railway Magistrates have been established mostly at Railway stations for trial of cases under the Railways Act-1989.

Generally their courts are mobile.

Special Railway Magistrates are Judicial Magistrates of the concerned states .

In most of the states, these Railway magistrates are empowered to try the cases of Railways Act, Railway (Property Unlawful) Possession Act-1966 as well as cases of GRP.

Objective: To provide safe & enjoyable journey

Thanks

TRAINING ON CHILD SAFETY

Child Rights, Care & Protection of Children in contact with Railways: SOP and Related Laws

Objective:

By the end of session we will be able:

- To ensure protection to every child at risk, travelling or arriving alone or travelling in groups with an adult using railways should be attended.
- To take care of by the Government or non-government stakeholders present at the railway stations.
- Handle the situation in favour of the child protection in accordance with Laws within the Railway premises.

Definitions:

As per section 2 of JJ Act:

2/(12): **"Child"** means a person who has not completed eighteen year of age;

2/(13): **"Child in conflict with law"** means a child who is alleged or found to have committed an offence and who has not completed eighteen year of age on the date of commission of such offence;

2/(35): **"Juvenile"** means a child below the age of eighteen years

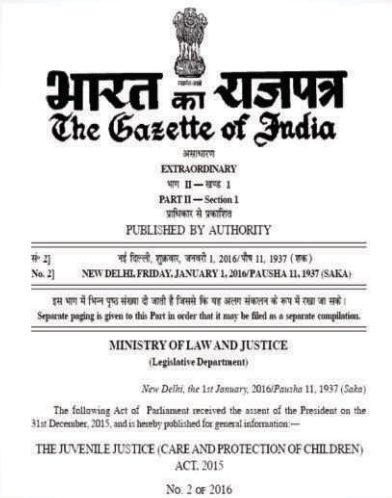
Introduction to child rights

Issue of concern: Child trafficking may be defined as 'any person under 18 who is recruited, transported, transferred, harboured or received for the purpose of exploitation, either within or out side a country.'

Trafficking is an organised global crime that violates the basic human rights. It is one of the most serious issues plaguing India. National Crime Records Bureau (NCRB) records as many as 8,132 cases of human trafficking in India in the year 2016. Out of the 15,379-people trafficked, 58.7 percent were children, exposing them to violence, abuse, and exploitation.

There are legal provisions to combat trafficking in India such as Immoral Traffic (Prevention) Act, 1956 (ITPA), Section 370A of Criminal Law (Amendment) Act 2013, Protection of Children from Sexual offences (POCSO) Act, 2012.

In 2017, to address the issue of trafficking from the point of view of prevention, rescue and rehabilitation, a comprehensive Bill called the Trafficking of Persons (Prevention, Protection and Rehabilitation) Bill 2017 has been introduced by the government of India.



भारत का राजपत्र
The Gazette of India

असाधारण
EXTRAORDINARY
भाग II — खण्ड 1
PART II — Section 1
प्राधिकार से प्रकाशित
PUBLISHED BY AUTHORITY

सं. 2] नई दिल्ली, शुक्रवार, जनवरी 1, 2016/पौष 11, 1937 (शक)
No. 2] NEW DELHI, FRIDAY, JANUARY 1, 2016/PAUSHA 11, 1937 (SAKA)

इस भाग में भिन्न पृष्ठ संख्या दी जाती है जिससे कि यह अलग संकलन के रूप में रखा जा सके।
Separate paging is given to this Part in order that it may be filed as a separate compilation.

MINISTRY OF LAW AND JUSTICE
(Legislative Department)

New Delhi, the 1st January, 2016/*Pausha* 11, 1937 (*Saka*)

The following Act of Parliament received the assent of the President on the 31st December, 2015, and is hereby published for general information:—

THE JUVENILE JUSTICE (CARE AND PROTECTION OF CHILDREN) ACT, 2015

No. 2 OF 2016

The Juvenile Justice (Care & Protection of children) Act, 2015

- An Act to consolidate and amend the law relating to children:
  - alleged and found to be in conflict with law and
  - children in need of care and protection
  - by catering to their **basic needs** through proper care, protection, development, treatment, social re-integration, by adopting a **child-friendly approach** in the **adjudication** and **disposal** of matters in the best interest of children and for their rehabilitation through processes provided, and **institutions** and bodies established.

JJ Act... Contd..

- The provisions of the Constitution confer powers and impose duties, under clause (3) of article 15, clauses (e) and (f) of article 39, article 45 and article 47, on the State to ensure that all the needs of children are met and that their basic human rights are fully protected;
- The Government of India has acceded on the 11th December, 1992 to the Convention on the Rights of the Child, adopted by the General Assembly of United Nations, which has prescribed a set of standards to be adhered to by all State parties in securing the best interest of the child;
- JJ Act 2015 enacted as per the standards of:
- The Convention on the Rights of the Child,
- The United Nations Standard Minimum Rules for the Administration of Juvenile Justice, 1985 (the Beijing Rules),
- The United Nations Rules for the Protection of Juveniles Deprived of their Liberty (1990),
- The Hague Convention on Protection of Children and Co-operation in Respect of Intercountry Adoption (1993), and other related international instruments.

JJ Act... Contd..

Chapter	Sections	Details
1	1 & 2	• Short title, extent, commencement and application. • Definitions.
2	3	• General Principles of Care and Protection of Children
3	4 to 9	• Juvenile Justice Board
4	10 to 26	• Procedure in Relation to Children in Conflict with Law
5	27 to 30	• Child Welfare Committee
6	31 to 38	• Procedure in Relation to Children in Need of Care and Protection
7	39 to 55	• Rehabilitation and Social Re-integration (Shelters, Homes, Foster Care, Fit Facility
8	56 to 73	• Adoption (Eligibility, Procedure, Inter-country adoptions, Court Procedure, Adoption Agencies etc.,
9	74 to 89	• Other Offences against Children (Prohibition on disclosure of identity of children, cruelty, psychotropic substances, corporal punishment, exploiting child worker etc.,)
10	90 to 112	• Miscellaneous (Transfers, Releases, leave of absence, appeals, revisions, JJ Fund, SCPS, DCPU, CWPO, SJPU, Public Awareness etc.,

JJ Act... Contd..

Provision	The Juvenile Justice Act, 2000	The Juvenile Justice Act, 2015
Treatment of Juveniles	All children under the age of 18 years treated equally. Maximum penalty for juvenile in conflict with law is three years.	Juveniles aged between 16-18 years committing serious or heinous offences could be tried as adults. However, there will be no death penalty or life imprisonment.
Juvenile Justice Board	Conducts inquiry and directs the juvenile to be placed in any fit institution for a period not exceeding three years.	Adds a preliminary inquiry, conducted in certain cases by JJB to determine whether a child is placed in a home or sent to Children's Court to be tried as an adult.
Child Welfare Committee	Disposing of cases for children in need of care and protection; Frequency of meetings not specified.	Functions are same as in the Act; training of members to be done within two months of Bill becoming law; Committee to meet at least 20 days in a month.
Appeals	Appeal to the Session Court within 30 days of JJB order; further appeal to a High Court.	Appeal JJB/CWC order within 30 days to Children's Court, further High Court (District Magistrate for foster care, etc).
Adoption	No provision for inter-country adoption in the Act; the Guidelines Governing the Adoption of Children, 2011 provide for inter-country adoption.	Inter-country adoption allowed if adoption cannot take place within the country, within 30 days of child being declared legally free for adoption.
Foster Care	Temporary placement of a child to be given for adoption, with a family for a short/extended period of time; biological family may be allowed to visit.	Same as the Act. Adds new provision for monthly checks on foster family by the CWC.
After-care	Monetary and continued support for children after they leave special or children home for a period of three years or till 21 years of age.	One-time financial support to children leaving child care institutions after completing 18 years of age.

JJ Act... Contd..

i. **Principle of presumption of innocence:** Any child shall be presumed to be an innocent of any mala fide or criminal intent up to the age of eighteen years.
ii. **Principle of dignity and worth:** All human beings shall be treated with equal dignity and rights.
iii. **Principle of participation:** Every child shall have a right to be heard and to participate in all processes and decisions affecting his interest and the child's views shall be taken into consideration with due regard to the age and maturity of the child.
iv. **Principle of best interest:** All decisions regarding the child shall be based on the primary consideration that they are in the best interest of the child and to help the child to develop full potential.
v. **Principle of family responsibility:** The primary responsibility of care, nurture and protection of the child shall be that of the biological family or adoptive or foster parents, as the case may be.
vi. **Principle of safety:** All measures shall be taken to ensure that the child is safe and is not subjected to any harm, abuse or maltreatment while in contact with the care and protection system, and thereafter.
vii. **Positive measures**: All resources are to be mobilised including those of family and community, for promoting the well-being, facilitating development of identity and providing an inclusive and enabling environment, to reduce vulnerabilities of children and the need for intervention under this Act.

JJ Act... Contd..

(viii). Principle of non-stigmatising semantics: Adversarial or accusatory words are not to be used in the processes pertaining to a child.

(ix). Principle of non-waiver of rights: No waiver of any of the right of the child is permissible or valid, whether sought by the child or person acting on behalf of the child, or a Board or a Committee and any non-exercise of a fundamental right shall not amount to waiver.

(x). Principle of equality and non-discrimination: There shall be no discrimination against a child on any grounds including sex, caste, ethnicity, place of birth, disability and equality of access, opportunity and treatment shall be provided to every child.

(xi) Principle of right to privacy and confidentiality: Every child shall have a right to protection of his privacy and confidentiality, by all means and throughout the judicial process.

(xii) Principle of institutionalisation as a measure of last resort: A child shall be placed in institutional care as a step of last resort after making a reasonable inquiry.

(xiii) Principle of repatriation and restoration: Every child in the juvenile justice system shall have the right to be re-united with his family at the earliest and to be restored to the same socio-economic and cultural status that he was in, before coming under the purview of this Act, unless such restoration and repatriation is not in his best interest.

(xiv) Principle of fresh start: All past records of any child under the Juvenile Justice system should be erased except in special circumstances.

(xv) Principle of diversion: Measures for dealing with children in conflict with law without resorting to judicial proceedings shall be promoted unless it is in the best interest of the child or the society as a whole.

(xvi) Principles of natural justice: Basic procedural standards of fairness shall be adhered to, including the right to a fair hearing, rule against bias and the right to review, by all persons or bodies, acting in a judicial capacity under this Act.

JJ Act... Contd..

- Juvenile Justice Boards (JJBs) will be constituted in each district to deal with children in conflict with law. They will consist of a Metropolitan or Judicial Magistrate and two social workers, including a woman.
- Offences committed by juveniles are categorized as: **(i) Heinous offences** (those with minimum punishment of seven years of imprisonment under IPC or any other law), **(ii) Serious offences** (three to seven years of imprisonment), and **(iii) Petty offences** (below three years of imprisonment). A juvenile cannot be given life imprisonment without the possibility of release or death penalty.
- Under the Act, a juvenile in conflict with law can be required to spend a maximum of three years in a special home or fit facility. However, juveniles in the age group of 16-18 years may be tried as adults in certain cases. Any person who is between the ages of 16-18 years and has committed a heinous offence may be tried as an adult, irrespective of date of apprehension. Also, a juvenile between 16-18 years of age who has committed a serious offence and apprehended after the age of 21 years, may be tried as an adult.
- In all other cases, juveniles will get a maximum of three years in institutional care, as determined by the JJB.

JJ Act... Contd..

- In case of heinous offences, if a juvenile is apprehended before 21 years of age the JJB will conduct a preliminary inquiry. This will determine his mental/physical capacity to commit an offence and an understanding of its consequences. The JJB will then pass an order that recommends: (i) interventions like counseling or community service; (ii) staying at an observation home for a temporary or long-term period; or (iii) refer the juvenile to a Children's Court to determine whether to try him as an adult.

- A Children's Court is a Sessions Court notified under the Commissions for Protection of Child Rights Act, 2005. For the purposes of this Act , once a juvenile is referred by a JJB to a Children's Court it will determine whether to try him as an adult or else recommend counseling, stay at observation home, etc.
- Order the police for registration of first information report for offences committed against any child in conflict with law, under this Act or any other law for the time being in force, on a complaint made in this regard;

- Order the police for registration of first information report for offences committed against any child in need of care and protection, under this Act or any other law for the time being in force, on a written complaint by a Committee in this regard;

JJ Act... Contd..

12. (1) When any person, who is apparently a child and is alleged to have committed a bailable or non-bailable offence, is apprehended or detained by the police or appears or brought before a Board, such person shall, notwithstanding anything contained in the Code of Criminal Procedure, 1973 or in any other law for the time being in force, be released on bail with or without surety or placed under the supervision of a probation officer or under the care of any fit person:

13. (1) Where a child alleged to be in conflict with law is apprehended, the officer designated as Child Welfare Police Officer of the police station, or the special juvenile police unit to which such child is brought, shall, as soon as possible after apprehending the child, inform —

i. the parent or guardian of such child, if they can be found, and direct them to be present at the Board before which the child is produced; and

ii. the probation officer, or if no probation officer is available, a Child Welfare Officer, for preparation and submission within two weeks to the Board, a social investigation report containing information regarding the antecedents and family background of the child and other material circumstances likely to be of assistance to the Board for making the inquiry.

(2) Where a child is released on bail, the probation officer or the Child Welfare Officer shall be informed by the Board.

JJ Act... Contd..

Type of Offence	Age when offence committed	Age on date of apprehension	Penalty
Serious offence	17 years	Below 21 years	Counselling or fine or maximum 3 years in special home
Serious offence	17 years	Above 21 years	Will be tried as an adult; Imprisonment of 3-7 years
Heinous offence	17 years	Below 21 years	Based on evaluation of mental capacity, etc, may be tried as a child (max. 3 years) or adult (more than 7 years)
Heinous offence	17 years	Above 21 years	Will be tried as an adult; Imprisonment of 7 years and above

JJ Act... Contd..

- Child Welfare Committees (CWCs) will be constituted in each district to deal with children in need of care and protection. They will be composed of a chairperson and four other members who shall be experts on matters relating to children. At least one of the four members will be a woman.
- A child who is found to be in need of care and protection shall be brought before a CWC within 24 hours. Subsequently, a Social Investigation Report is required to be prepared within 15 days. After assessing the report, the CWC may recommend that the child be sent to a children's home or another facility for long term or temporary care, or declare the child as free for adoption or foster car.
- **31.** (1) Any child in need of care and protection may be produced before the Committee by any of the following persons, namely:—
  I. any police officer or special juvenile police unit or a designated Child Welfare Police Officer or any officer of District Child Protection Unit or inspector appointed under any labour law for the time being in force;
  II. any public servant;
  III. Childline Services or any voluntary or non-governmental organisation or any agency as may be recognised by the State Government;
  IV. Child Welfare Officer or probation officer;
  V. any social worker or a public spirited citizen;
  VI. by the child himself; or
  VII. any nurse, doctor or management of a nursing home, hospital or maternity home:

Provided that the child shall be produced before the Committee without any loss of time but within a period of twenty-four hours excluding the time necessary for the journey.

JJ Act... Contd..

32. (1) Any individual or a police officer or any functionary of any organisation or a nursing home or hospital or maternity home, who or which finds and takes charge, or is handed over a child who appears or claims to be abandoned or lost, or a child who appears or claims to be an orphan without family support, shall within twenty-four hours (excluding the time necessary for the journey), give information to the Childline Services or the nearest police station or to a Child Welfare Committee or to the District Child Protection Unit, or hand over the child to a child care institution registered under this Act, as the case may be.

(2) The information regarding a child referred to in sub-section (1) shall be mandatorily uploaded on a portal as may be specified by the Central Government or the Committee or the District Child Protection Unit or the child care institution, as the case may be.

33. If information regarding a child as required under section 32 is not given within the period specified in the said section, then, such act shall be regarded as an offence.

34. Any person who has committed an offence under section 33 shall be liable to imprisonment up to six months or fine of ten thousand rupees or both.

JJ Act... Contd..

Offence	Penalty prescribed in the JJ Act 2015
Prohibition on disclosure of identity of children.	imprisonment for a term which may extend to six months or fine which may extend to two lakh rupees or both. Sec.74 (JJB or CWC).
Giving a child any intoxicating liquor/narcotic drug/tobacco/psychotropic substances	Imprisonment: up to seven years; Fine: up to one lakh rupees . Sec. 77 & 78
Selling or buying a child	Imprisonment: up to five years; Fine: one lakh rupees. Sec. 81
Subjecting a child to cruelty	Imprisonment: up to three years; Fine: and/or one lakh rupees . Sec.75
Employing a child for begging	Imprisonment: up to five years; Fine: one lakh rupees Sec.76
Engaging a child and keeps him in bondage for the purpose of employment or withholds his earnings or uses such earning for his own purposes	Rigorous imprisonment for a term which may extend to five years and shall also be liable to fine of one lakh rupees. Sec 79.
Punitive measures for adoption without following prescribed procedures.	imprisonment of either description for a term which may extend upto three years, or with fine of one lakh rupees, or with both: Sec 80.
Offences against disabled Children	Twice the Penalty. Sec.85

JJ Act... Contd..

- **Adoption:** The Central Adoption Resource Agency will frame regulations on adoption. These regulations will be implemented by state and district agencies. Prospective adoptive parents should be physically and financially sound. A single or divorced person may adopt a child. A single male may not adopt a girl child. The Bill also provides for inter-country adoption.
- **Registration of institutions:** Institutions for child care having a valid registration under the 2000 Act will continue to be recognized. Other institutions are required to be registered within six months of this Bill coming into force. The registration is valid for five years and needs to be renewed. Inspection committees will inspect these institutions and registration may be cancelled if they do not meet the prescribed criteria.

Table 1: Juveniles between 16-18 years apprehended under IPC

Crime	2003	2013
Burglary	1,160	2,117
Rape	293	1,388
Kidnapping/abduction	156	933
Robbery	165	880
Murder	328	845
Other offences	11,839	19,641
Total	**13,941**	**25,804**

Note: Other offences include cheating, rioting, etc.
Source: Juveniles in conflict with law, Crime in India 2013, National Crime Records Bureau.

NCRB data: One of the reasons cited for the Bill's introduction is an increase in heinous offences committed by 16-18 year olds. The Committee stated that this data compiled by NCRB is misleading as it is based on filing of FIRs and not actual convictions.

Laws related to Child rights

- Commissions for Protection of Child Rights (Amendment) Act 2006
- Commission For Protection of Child Rights Rules, 2006
- Commissions for Protection of Child Rights Act, 2005
- Right of Children to Free and Compulsory Education Rules , 2010
- Right of Children to Free and Compulsory Education Act 2009
- Protection of Children From Sexual Offences Rules, 2012
- The Juvenile Justice (Care and Protection of Children) Act 2015, Rules, 2016
- THE JUVENILE JUSTICE (CARE AND PROTECTION OF CHILDREN) ACT, 2015
- Protection of Children From Sexual Offences Act, 2012
- Juvenile Justice (Care and Protection of Children) Amendment Act, 2011
- Juvenile Justice (Care and Protection of Children) Rules, 2007
- Juvenile Justice (Care and Protection of Children) Amendment Act, 2006
- Juvenile Justice (Care and Protection of Children) Act, 2000

Laws related to Child rights

- Child Labour (Prohibition and Regulation) Rules, 1988
- Child Labour (Prohibition and Regulation) Act, 1986
- Children (Pledging of Labour) Act, 1933
- Bonded Labour System (Abolition) Act, 1976
- Factories Act, 1948
- Guardians and Wards act 1890
- Hindu Minority and Guardians Act 1956
- Immoral Traffic (Prevention) Act, 1956
- Medical Termination of Pregnancy Act, 1971
- Mines Act, 1952
- National Food Security Act, 2013
- Prohibition of Child Marriage Act 2006
- Prenatal Diagnostic Techniques (Regulation and Prevention of Misuse) Act, 1994
- Young Persons (Harmful Publication) Act, 1956

Who all can support in creating a protective Environment for children at Railway Station?

In a railway station the key stakeholders to ensure protection for children are those who all are entrusted for operationalizing the railway station in an effective manner; i.e. Station Master/ SS, TTE/TC, other commercial and technical staff, RPF, GRP and so on. There are secondary stakeholders who are equally important in creating protective environment for children which includes:

- Coolie/porters
- Vendors at station
- Cleaning staffs
- Passenger/ commuters
- Escort/s of passengers
- Taxi, auto rickshaw and cycle rickshaw drivers
- Public spirited citizens

How protection can be ensured

- Ministry of Railways has circulated the 'Standard Operating Procedure for Railways to ensure care and protection of children in contact with Railway (herewith SOP) based on the provision of JJ Act and directions of the Delhi High Court. A collaborative effort from Railway officials operating at the station with NGO Functioning at Railway station or in nearby area for the cause of children along with other stakeholders can enable a child friendly environment at the railway station. Convergent approach between all the stakeholder's can identify and provide care and protection to every child at risk arriving alone or passing through the station.

Mechanism to safeguard children at Railway premises

- SOP circulated by Ministry of Railways clearly defines the mechanism to ensure care and protection for the children in contact with railways, and that is already being implemented in selected stations. As the issue is widespread, Railway officials functioning at the non-SOP stations may volunteer to enable a protective environment for children by
- involving different stakeholders and adopting the following strategies at the station;

Creating Awareness and Sensitisation at Station

- The public-address system at the Railway Station may inbuilt messages towards safety and security of children. The announcements about CHILDLINE/helpline numbers and contact point/Child Help Desk at the station may be inbuilt in the regular announcements of trains at the Station.
- Announcements on lost and found children along with the message on how passengers and other people accessing station can voluntarily provide support to a child in need of care and protection can also be built into the system.
- The information in regard to Child Help Desk/Child Helpline may also be displayed through electronic boards/posters/banners at the identified locations. NGOs may also conduct awareness events at the station.

Maintenance of Record of the Children Found at the Station

Station Master/Station Superintendent or his/her authorised representative may maintain a register to record the details of the child found. Whenever a child is found at the railway premises, s/he may be handed over to RPF/GRP or voluntary organisation operating at the station who would make the child comfortable and record/facilitate to record particulars of the child in the register maintained with the station master as per the format in SOP (Form I). RPF/GRP as per their official procedure shall also ensure a Daily Diary/ General Diary entry.

- **Mandatory Reporting of found child**

Under Section 32 of JJ Act, it is mandatory for any individual/police officer/functionary of any organisation to give information to nearest Childline/police station/CWC/ DCPU within twenty-four hours or hand over the child to a child care institution Not reporting under Section 32 within 24 hours shall be an offence.

Referral of children under JJ act

As per JJ act whenever a child is found at the railway premises, s/he is required to be produced before Child Welfare Committee (CWC) for which procedure has been detailed in Section V of the document.

As per Section 27 of JJ Act, 2015. CWC is constituted for every district for exercising the power in relation to children in need of care and protection. CWC shall consist of a chairperson and four other members of whom at least one shall be a woman and another, an expert on the matters concerning children.

Operation on an NGO at the Station

As per SOP, at the stations approved for implementation of SOP, Ministry of Women & Child Development is responsible to identify and nominate an NGO who will facilitate all matters pertaining to the child in contact with the railways. At non-SOP stations, pending implementation of SOP, Station Master/ Station Superintendent may consider facilitating safety and security to children at the station with the help of RPF/GRP or NGO already functioning at the station/nearby area or willing to work at station.

SM/SS can form a Child Help Group(CHG)

To ensure protection of every child coming in contact with Railways, Station Master/ Station Superintendent can form a child help group (CHG) comprising Station Master (SM)/ Station Superintendent (SS), Inspector-RPF, Station House Officer (SHO)-GRP and Chief Ticket Inspector (CTI) for well-coordinated work on child protection at the station. The group may also have a representative from voluntary organisation / NGO as a regular member to facilitate care and protection of children. Station master as nodal officer may play the key role and take support of SSE (Works), Medical Official or any other official depending upon the need and requirement.

Child Help Group (CHG)

A Child Help Desk with approximate space of 6'x6' may be set up at the platform which can be operational for 24 hrs. with the support of RPF/GRP or any willing/identified NGO working at the Railway Station. The objective of operating Child Help Desk shall be to;

- Keep a vigil at the railway station
- coordinate with all the concerned departments
- provide immediate care and support to children identified at station
- assist people who refers or wants to share information about any lost and found child
- raise awareness in public, and
- keep and maintain registers and IEC materials

Creating and Maintaining a Contact Directory

For safety and security of children found at the stations a contact diary of the following may be maintained /displayed at the Railway Station and GRP/RPF station.

a) Name, address and phone numbers of the child welfare committee(s) and Juvenile Justice Board (JJB).

As per Section 4 of the JJ Act, 2015. **JJB** is constituted for every district for exercising powers relating to children in conflict with law. JJB shall consist of a Metropolitan Magistrate or a Judicial Magistrate of First Class (Principal Magistrate) and two social workers of wham at least one shall be woman.

Creating and Maintaining a Contact Directory

b) List of NGOs, ChildLine and Institutions for children, nearest hospital with pediatric department, nearest state government children's home with their address and contact numbers.

c) Name of the police officer or Special Juvenile Police Unit (SJPU) or a designated police officer notified as per Juvenile Justice (Care and Protection of Children) Act, 2015.

SJPU is a unit of the police force of a district or city or, as the case may be, any other police unit like railway police, dealing with children and designated as such for handling children under Section 107-Section 55 of the JJ Act, 2015.

Creating and Maintaining a Contact Directory

d) Emergency contact no. of Child Welfare committee, JJB with the jurisdiction over the station, Child Welfare Officer of the GRP/Local Police/RPF.

e) Contact details of District Child Protection Unit (DCPU).

D CPU is a child protection unit for a District established by the state government as a focal point for child protection services in the district as per Section 26 of JJ Act, 2015

Capacity building trainings fro RPF /GRP and Child Protection Committee members

Trainings may be conducted with the support of RPF training institute in collaboration or support from expert NGOs who are willing to offer their service. Periodic capacity building trainings would enhance knowledge of the concerned members which will contribute in creating a child friendly atmosphere at the railway station.

Procedure to provide care and protection to the child in context of SOP

A. Steps to protect child found at Railway Station:

1. The Child will be brought to the Station Superintendent (SS)/Station Master(SM) by RPF or GRP or by voluntary organisations/or any person.
2. The SS/SM shall ensure that Child's details are recorded in register maintained by SS/ SM and place photograph of the child in the register with assistance from GRP, RPF or NGO in the system.

As per (Sec 31 of JJ Act), Any child in need of care and protection may be produced before CWC without any loss of time but within 24 hours by any of the following:

- Police Officer/ SJPU/DCPU/Child Welfare Police Officer
- Officer of DCPU/Inspector under Labour law
- Public Servant
- Child Welfare Officer/Probation Officer
- Childline Service or NGO
- Social worker /public-spirited citizen/ nurse, doctor, management of any medical institute
- Child himself

Procedure to provide care and protection to the child in context of SOP

A. Steps to protect child found at Railway Station:

3. The SS/SM Shall ensure the details of the rescued child is conveyed to RPF/GRP who will in turn ensure that details of the child is conveyed to,
   (i) local police station in which the parents / guardian of the child live,
   (ii) RPF Help line.
4. After recording the details of the child, child would be handed over to the RPF/GRP who in turn will take necessary action.
5. Meanwhile, periodic announcements over the Public Address System regarding the child may be made.
6. RPF/GRP will ensure the Daily Diary (DD) entry of the child before handing over the child to NGO/CHILDLINE/Child Help Desk (CHD) at the station or Child Welfare Committee.
7. Child then can be produced before Child Welfare Committee (CWC) by NGO/ CHILDLINE or directly by RPF/GRP without any delay.
8. In case the rescued child is girl, she should be provided shelter in waiting room and a woman constable of RPF may provide security. In the absence of Women RPF constable, RPF can take the help of women GRP constable or a Railway women employee.

Procedure to provide care and protection to the child in context of SOP

B. Steps for Taking care of the Child found in Train:

1. GRP/RPF shall consult with the TTE on board and take necessary action to protect the child/children.
2. TTE/TC/GRP/RPF shall provide temporary transit5 care and protection to the child till the next scheduled major station.
3. GRP/RPF to facilitate immediate need like drinking water, food or first aid to the child, if required during transit care in the train.
4. GRP/RPF will try to establish rapport with the child/children by interacting with him/her in a child friendly manner.
5. GRP/RPF will record details of the child/children.
6. Inform the SS/SM, GRP & RPF of the next major station in which train halts about such child/children on board through security help line/Security Control Room for taking action to receive the child/children at the station on arrival of the train.
7. After reaching at the railway station, the rest of the procedures shall be followed as detailed under Section V(A).

Role & Responsibility of Primary Stakeholders at the Station

A. Station Superintendent/Station Master:

The Station Superintendent (SS) or Station Master (SM) is the head of the Station and is responsible for the all matters pertaining to the Railway Station. S/he ensures smooth running of trains, issue of tickets, goods handling, parcel handling and accounting of station earnings along with the passenger safety and protection. Thus SS/SM being the key person is also responsible for safety and security of children in railway premises. SS/SM being the convenor of Child Help Group (CHG), may ensure:

1. Convening of meetings of the CHG as and when required.
2. Involve with the Child Welfare Committee, CHILDLINE (1098 service) and reputed NGOs for protection of children as per law.
3. Establish/facilitate documentation system to record details of each child mentioned in the Section IV (2) above.
4. After proper documentation of the child, to ensure that child is produced before Child Welfare Committee and proper procedure is followed as detailed in Section V (A).
5. If the rescued child is a girl, provide Railway's woman employee in the absence of women constable of RPF and GRP to ensure the safety of the girl child.
6. Facilitate periodic announcements over the public address system regarding any missing/ trafficked child, whenever required.
7. As the convenor of the CHG, SS/SM may facilitate awareness events at the station level with help of NGOs.

B. Inspector-Railway Protection Force (RPF) and Station House Officer (SHO)- Government Railway Police (GRP)

1. The Inspector of RPF and SHO of GRP are entrusted with a key role to create a child protection mechanism at the railway station. They would ensure:
   a) Meeting immediate needs of the child.
   b) Child to be brought to SS/SM.
   c) Daily Diary (DD) entry.
   d) In case of girl child, a female constable to be deputed to accompany with the outreached/rescued girl child.
2. The child found/ rescued is in safe custody of NGO at Child Help Desk at the station (if existing) till the time the child is produced before CWC.
3. The information of child found/rescued/outreached child is conveyed to the RPF Help Line and the local Police station where the parents/guardians/relative of the child live in.
4. Keep unobtrusive surveillance on suspected child/group of children travelling with or without any adult member on routine basis by RPF/GRP train escorting staff.
5. Provide access to operating NGO to view the CCTV surveillance network for monitoring/identifying child at the Station/Platform, yard etc.
6. SHO-GRP discharge the role as mandated in the Juvenile Justice (Care and Protection of Children) Act-2015 for Special Juvenile Police Unit (SJPU).
7. Briefing of RPF/GRP personnel on child protection issues during routine meetings at the stations.
8. Create awareness on child protection among stakeholders, such as, porters, vendors, passengers, TTEs, TCs and cleaning staff. This could include organizing orientation/sensitization sessions for these groups at the railway premises etc.

B. Inspector-Railway Protection Force (RPF) and Station House Officer (SHO)- Government Railway Police (GRP)

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   c) Daily Diary (DD) entry.
   d) In case of girl child, a female constable to be deputed to accompany with the outreached/rescued girl child.
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3. The information of child found/rescued/outreached child is conveyed to the RPF Help Line and the local Police station where the parents/guardians/relative of the child live in.
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7. Briefing of RPF/GRP personnel on child protection issues during routine meetings at the stations.
8. Create awareness on child protection among stakeholders, such as, porters, vendors, passengers, TTEs, TCs and cleaning staff. This could include organizing orientation/sensitization sessions for these groups at the railway premises etc.

C. Train Ticket Examiner (TTE) and Ticket Collector (TC)

1. The TTE and the TC are officials of the railways who can identify children in need of care and protection in the trains. S/he shall remain vigilant with respect to the following situations that may indicate the need for an intervention:
   a) Whenever a group of children board train.
   b) Whenever there are more than four to five children accompanied by one or two adults.
   c) Whenever there is /are unaccompanied child/children.
   d) Whenever there are children without ticket and do not have proper information about the destination or whenever children give contradictory information about their destinations.
   e) Whenever children are being frequently shifted from one compartment to other.
   f) Whenever children are not allowed to talk to each other or to any other person.

C. Train Ticket Examiner (TTE) and Ticket Collector (TC)

2. In such situation, the TTE/TC shall take following action:
   a) Approach the child/children and ask him/her/them about their address and destination in a child friendly manner without intimidation and threat.
   b) Ascertain if the child/children need help and assistance, provide transit care and protection to the child till the next scheduled major stations.
   c) Inform the GRP/RPF as the case may be to ensure that in case it is suspected that child/children is/are runaway or is/are abandoned or is/are being trafficked.
   d) Hand over the child to RPF/GRP personnel, then RPF/GRP shall take necessary actions to protect the child/children and follow procedures as mentioned in Section V.

D. Duties of Railway Protection Force (RPF), Government Railway Police (GRP) train escorting Staff

Keeps unobtrusive surveillance on suspected child/group of children travelling with or without any adult member. If found to be trafficked/abused/destitute/ abandoned/lost or exploited children, following action may be taken:

1. Immediately consult with TTE/TC on board and take necessary action to protect the child/children and follow procedures as mentioned in Section 5(B).
2. Communication with the child/children in child friendly manner and record the important details of the child/ children i.e. name, age, details of parents/guardians/relatives and their contact phone numbers, station where boarded, destination station, details of tickets etc.
3. Take necessary actions to protect the child/children and follow procedures as mentioned in Section 5(B).

WORKS CONTRACT TENDERS & CONTRACTS

CIVIL TENDERS AND CONTRACTS

CIVIL TENDER

- Civil tender usually refers to the process whereby governments and other institutions invite bids for Execution of projects/works that must be submitted within a finite deadline.

CONTRACT

- A Defined Legal Relationship between tendering authority and successful tenderer for execution of work.
  - Works contract
  - Store contract
  - Service contract

REFERENCES AND GUIDELINES

- Indian Contracts Act- 1872
- Arbitration and Conciliation Act - 1996
- Standard General Conditions of contracts-2014
- Unified standard specifications for works & materials - 2010
- Unified standard schedule of rates for works & materials - 2011
- Special conditions of contracts
- Standard Drawings - issued by RDSO/Railways
- Special specifications of materials
- Manuals & Codes
- SOP

WHY TENDERING ?

- Fundamental Principles of Execution of Public Works:
  - Efficiency
  - Economy
  - Transparency
- Fair & Equitable treatment of tenderers
- Promotion of Competition

TYPES OF TENDERS

- Open Tenders
- Limited Tenders
- Special Limited Tenders
- Single tenders

LIMITED TENDER

(RB VIDE LETTER NO. 94/CEI/CI/4 DATED 17/10/2002)

1. LIMITED TENDERS FROM THE CONTRACTORS BORNE ON THE APPROVED LIST ONLY.
2. NOTICE IN LOCAL NEWSPAPERS, DISPLAYED ON NOTICE BOARDS AND PUT ON INTERNET.
3. RAILWAY MAY DECIDE CATEGORIES OF WORKS FOR WHICH LIST OF APPROVED CONTRACTORS SHALL BE MAINTAINED FOR EACH MONETARY SLAB.

SPECIAL LIMITED TENDER

(RB VIDE LETTER NO. 94/CEI/CT/4 DATED 17/10/2002)

1. SPECIAL LIMITED TENDER IN CONSULTATION WITH FA & CAO IN FOLLOWING SITUATIONS:-
   - A WORKS OF SPECIALIZED NATURE (PHOD APPROVAL)
   - B WORK OF URGENT NATURE (GM APPROVAL)
   - C CONSULTANCY WORKS (GM'S APPROVAL)
2. TENDERERS NEED NOT NECESSARILY TO BE BORNE ON THE APPROVED LIST.
3. TO BE INVITED FROM SPECIALIZED AND REPUTED CONTRACTORS
4. NO. OF TENDERERS MORE THAN SIX BUT NOT LESS THAN FOUR

SPECIAL LIMITED TENDER

(Rly Bd letter No.2007/CEI/CT/18 Dt.28-09-07)

CAO(C) WITH THE CONCURRENCE OF FA & CAO(C) MAY INVITE SPECIAL LIMITED TENDER NOT ONLY FOR SPECIALISED NATURE OF WORK BUT FOR ALL TYPES OF WORKS DEPENDING UPON THE MERIT OF THE CASE

SINGLE TENDER

(Rly. Board's letter –2007/CCI/CT/18 Dated 7/3/2008)

- GM is empowered to award contracts on single tender basis at present, but now CAO(C) is also empowered to float and finalize single tenders of value not more than Rs. 2.0 crore each with personal concurrence of FA&CAO, only for purpose of early completion of works related with doubling and traffic facility.

TWO PACKET SYSTEM

94/CEI/CT/04 DATED 17/10/02

- CAN BE ADOPTED FOR **HIGHLY TECHNICAL WORKS** WHERE PARAMETERS NOT PRECISELY DEFINED **OR SPECIALIZED** IN NATURE

2007/CEI/CT/18 DATED 07/03/08

- RAILWAY MAY FOLLOW TWO PACKET SYSTEM INSTEAD OF RESORTING TO SINGLE PACKET/ OPEN TENDER **FOR HIGH VALUE TENDERS**

2008/CE.1/CT/Con/7(PCE/GM) DT 15.12.08

- TWO-PACKET SYSTEM OF TENDERING MAY BE ADOPTED **WHEREVER CONSIDERED NECESSARY**. THERE IS NO NEED TO LINK THIS MODE OF TENDERING TO ANY FINANCIAL VALUE

94/CE-I/CT/4/PT. 17 DT. 13.8.12

1. TWO PACKETS SYSTEM FOR ALL WORKS REQUIRING TECHNO-ECONOMIC EVALUATION
2. MANDATORY **FOR ALL WORKS VALUING MORE THAN 10 CR.** EXCEPT WHERE DECIDED BY EXECUTIVE NOT BELOW THE RANK OF HAG WITH RECORDED REASONS AND CONCURRENCE OF FA&CAO
3. FOR WORKS UPTO 10 CR. CAN BE ADOPTED BY TENDER INVITING AUTHORITY WITH CONCURRENCE OF ASSOCIATE FINANCE

EPC Mode o Contratln

NEED FOR EPC CONTRACT

- Conventional item-rate contracts are generally prone to time & cost overrun due to:
  - Involvement of multiple agencies- generally a new line/doubling project involves 15 to 20 different value contracts
  - Failure of even one contract delays the project
  - Lack of flexibility in replacing failed agency on real time basis

NEED FOR EPC CONTRACT

- In item-rate contract, allocation of construction risks are largely to Authority , particularly the onus of design which many times lead to
  - Delays in design and drawings by the Authority
  - Variation in items and quantities
- Considerable time of Project Engineers is consumed in processing of:
  - Variation in quantity of items which are quite frequent
  - Introduction of NS items
  - Variation in contract price
- More susceptible from vigilance point of view

OBJECTIVE OF EPC CONTRACT

- Implementation of project to specified standards with a fair degree of certainty relating to time & cost while transferring the construction risk to contractor.
- Awarding contract for a LS price ensures predictability and financial discipline both for Government & Contractor.
- Well defined system of obligation associated with damages
- Assigning risk to the party who is in a better position to mitigate it e.g. land, statutory clearances assigned to Authority whereas design, site uncertainty, sub contracting are assigned to contractor

PERCEIVED ADVANTAGE OF EPC

- **Detailed initial planning before tendering-** Authority is required to specify its requirement only, without detailed design.
- **Effective project management-** less no. of contracts to mange.
- Engagement of professionally managed agencies.
- Minimum variation orders.
- Milestone based payments.

RESPONSIBILITY

- scope of the Project needs to be specified very carefully and should be exhaustive

TENDERING PROCESS

- Approval of Competent Authority (CA) for tendering
- Issue of Tender Notice/NIT
- Pre-bid conference, if any.
- Preparation of Comparative Statement(CS) and Briefing Note(BN)
- Vetting of CS
- Nomination of Tender Committee(TC)
- Deliberation of tenders by TC and Recommendations
- Acceptance of Tender Accepting Authority (TAA)
- Issue of Acceptance Letter (LOA)
- Signing of Contract Agreement (CA)

NOTICE INVITING TENDERS (NIT)

- Name of office inviting tenders
- Name & scope of work.
- Tender value
- Time period of completion.
- Details of earnest money.
- Date of Commencement of sale of Tender Documents.
- Time and date for receipt of tenders
- Time and date for opening of tenders.
- Validity of the tenders.
- Accessibility of full set of tender documents including drawings.

PUBLICATION OF TENDER

(Rly Bd letter no. 2008/RS(G)/779/2 Dt 07/11/08)

- WHILE PUBLISHING THE TENDER IN NEWPAPER FOR WIDE PUBLICATION, CPRO MUST ENSURE THAT THE TENDER NOTICE HAS ALREADY BEEN UPLOADED ON THE WEBSITE BY TAKING CERTIFICATE FROM THE EXECUTIVE.

- ANY OPEN TENDER NOT HAVING TOKEN OF CONFIRMATION (IN THE FORM OF RECORD OF INTERNET UPLOADING) WILL BE TREATED AS INADEQUATELY ADVERTISED TENDER.

COST OF TENDER FORMS.

Sl.	COST OF TENDER	COST
1.	For works costing up to Rs.5 L	1000/-
2.	For works costing above Rs.5 L and up to Rs.20 L	2000/-
3.	For works costing above Rs.20 L and up to Rs.50 L	3000/-
4.	For works costing above Rs.50 L and up to Rs.2 cr	5000/-
5.	For works costing above Rs. 2 cr. and up to Rs.50 cr	10000/-
6.	For works costing above Rs.50 cr.	25000/-

(i) IF ANY PLAN/DRAWING IS ATTACHED WITH THE TENDER FORM, Rs.200/- PER PLAN/DRAWING WILL BE LEVIED EXTRA.

(ii) IF ANY TENDER FORM SENT BY REGD. POST, ADDITIONAL POSTAL EXPENSES @ Rs.500/- PER TENDER FORM WILL BE CHARGED.

MODES OF PAYMENT OF TENDER DOCUMENTS

- CASH IN FORM OF MONEY RECEIPT

- DEMAND DRAFT

THE OFFER WILL BE REJECTED INCASE NOT ATTACHED WITH DD FOR DOWNLOADED FORM - *A CLAUSE SHOULD BE MADE IN THE TENDER DOCUMENTS*

DELAYED / LATE TENDERS

Delayed tenders i.e. Tenders received before the time of opening but after the due date and time of receipt of tenders should also be opened and dealt with in the same manner as tenders received before due date and time.

Late tenders i.e. tenders received after the specified time of opening should be opened by the concerned Branch officer and marked distinctly preferably in red ink prominently on the envelope as well as on the tender papers.

Suitable remark in regard to both delayed and late tenders should be made both in the Tender Register as well as in the comparative statements.

DEALING WITH DELAYED / LATE TENDERS

(RB's LETTER No.2003/PS(G)/77/5 DATED 06-02-04

(I) NORMALLY NOT TO BE CONSIDERED AND SUMMARILY REJECTED

(II) HOWEVER, IF IT IS CONSIDERABLE ADVANTAGE TO DEAL WITH IT, THE PROPOSAL IS SENT TO RLY BD WITH FA & CAO'S REMARKS AND GM's PERSONAL APPROVAL

(III) THE RAILWAY ADMINISTRATION SHOULD NOT ENTER IN TO ANY DIALOGUE WITHOUT OBTAINING RALWAY BOARD's PRIOR CLEARENCE

Tender Coittee

(Rly. Board's letter –2007/CCI/CT/18 Dated 7/3/2008)

- Two members tender committee for tenders of value of Rs. 20.0 Lakhs and less – Two Members-one from accounts and other from executive.
- Three member tender committee for tenders valuing more than 20.0 Lakhs.

Tender aeptin Atority

(Rly. Board's letter –2007/CE-1/CT/O/20/1 Dated 08/10/2015)

Sl	Power of acceptance	Accepting Authority
1	Up to Rs. 4 cr	S. Grade/J.A. Grade
2	Above Rs. 4 cr and up to Rs. 20 cr	S.A. Grade
3	Above Rs. 20 cr and up to Rs. 75 cr	CHOD in SA Grade
4	Above Rs. 20 cr and up to Rs. 100 cr	AGM/PHOD in HAG
5	Above Rs. 20 cr and up to Rs. 300 cr	CAO/Const.
6	Up to Rs. 20cr and up to Rs. 500 cr (For National Projects of NE Region and Kolkata Metro)	CAO/Const.

Note:- Where no AGM is posted, such tenders shall also be accepted by GM

AN UNDERTAKING BY TC

(RLY BD letter No. 2004/C-1/CVC1/18/ dt 12.01.06)

THE MEMBERS OF THE TENDER COMMITTEE SHOULD GIVE AN UNDERTAKING AT THE APPROPRIATE TIME, THAT

NONE OF THEM HAS ANY PERSONAL INTEREST IN THE COMPANIES/AGENCIES PARTICIPATING IN THE TENDER PROCESS

AND THAT ANY MEMBER HAVING INTEREST IN ANY COMPANY SHOULD BE REFRAINED FROM PARTICIPATING IN THE TENDER COMMITTEE.

Earnest Money Deposit (EMD)

2007/CEI/CT/18 DATED 28/09/07

Value of the work	EMD
For works estimated to cost upto Rs. 1 crore	2% of the estimated cost of the work.
For works estimated to cost more than Rs. 1 crore	Rs. 2 lakhs plus % (half percent) of the excess of estimated cost of work beyond Rs. 1 crore subject to a maximum of Rs. 1.0 crore.

ELIGIBILITY CRITERIA

(Rly. Board vide letter No. 94/CEI/CI/4 dated 23/11/2006)

1	SHOULD HAVE PHYSICALLY COMPLETED WITH IN THE QUALIFYING PERIOD i.e. LAST THREE FINANCIAL AND CURRENT FINANCIAL YEAR	AT LEAST ONE SIMILAR NATURE OF WORK FOR A MIN. VALUE OF 35% OF NIT COST
2	TOTAL AMOUNT RECEIVED DURING THE LAST THREE AND CURRENT FINANCIAL YEAR	SHOULD BE OF AMOUNT OF 150% OF NIT COST.

RLY BD' LETTER NO.2008/CE1/CT/CON/7/PCE/GM DT 15.12.08

- THE EXISTING MIN TENDER VALUE LIMIT OF Rs. 10 LAKH FOR INCORPORATING ELIGIBITY CRITERIA IS INCREASED TO Rs. 20 LAKH

RLY BD' LETTER NO.2007/CE1/CT/18 Pt.XII DT 31.12.10

- IT HAS BEEN FURTHER INCREASED TO Rs. 50 LAKH

NEGOTIATION

Rly Bd LETTER 90/CEI/07/I/P/dt. 10-07-2002)

1. L1 IS DEFINED AS THE LOWEST WHICH IS VALID, ELIGIBLE AND TECHNICALLY ACCEPTABLE TENDERER
2. NEGOTIATION SHOULD BE HELD WITH L1 ONLY

COUNTER OFFER

RLY BOARD LETTER NO. 94/CEI/CT/4 DT 17.10.2002

IN CASES WHERE THE OVERALL VALUE OF L1 IS NOT UNREASONABLY HIGH BUT RATES OF CERTAIN ITEMS OR TOTAL VALUE FOR A SCHEDULE HAPPEN TO BE HIGHER THAN THOSE QUOTED BY OTHER TENDERERS OR HIGHER THAN LARs, METHOD OF COUTER OFFER MAY BE ADOPTED

BUT IT IS NOT SUBSTITUE/ IN LIEU OF NEGOTIATION

QUOTATIONS

(Rly Bd letter No. 2007/CEI/13/PT Dt 05/03/09)

AUTHORITY	FINANCIAL LIMIT	ANNUAL CEILING
Sr. Scale	1.0 lakhs	5.0 lakhs
JAG	2.0 lakhs	20.0 lakhs
SAG	4.0 lakhs	40.0 lakhs

- Invited from well experienced contractors, not necessarily borne on approved list.
- A register showing the full details to be maintained and sent to Associate Finance while seeking concurrence.

Thanks

TIME MANAGEMENT

Time Management - Meaning and its Importance

It is rightly said "Time and Tide wait for none". An individual should understand the value of time for him to succeed in all aspects of life. People who waste time are the ones who fail to create an identity of their own.

What is Time Management?

- Time Management refers to managing time effectively so that the right time is allocated to the right activity.
- Effective time management allows individuals to assign specific time slots to activities as per their importance.
- Time Management refers to making the best use of time as time is always limited.

Ask yourself which activity is more important and how much time should be allocated to the same? Know which work should be done earlier and which can be done a little later.

Time Management plays a very important role not only in organizations but also in our personal lives.

Time Management includes:

i. Effective Planning
ii. Setting goals and objectives
iii. Setting deadlines
iv. Delegation of responsibilities
v. Prioritizing activities as per their importance
vi. Spending the right time on the right activity

- **Effective Planning**

  Plan your day well in advance. Prepare a To Do List or a "TASK PLAN". Jot down the important activities that need to be done in a single day against the time that should be allocated to each activity. High Priority work should come on top followed by those which do not need much of your importance at the moment. Complete pending tasks one by one. Do not begin fresh work unless you have finished your previous task. Tick the ones you have already completed. Ensure you finish the tasks within the stipulated time frame.

- **Setting Goals and Objectives**

  Working without goals and targets in an organization would be similar to a situation where the captain of the ship loses his way in the sea. Yes, you would be lost. Set targets for yourself and make sure they are realistic ones and achievable.

- **Setting Deadlines**

Set deadlines for yourself and strive hard to complete tasks ahead of the deadlines. Do not wait for your superiors to ask you everytime. Learn to take ownership of work. One person who can best set the deadlines is you yourself. Ask yourself how much time needs to be devoted to a particular task and for how many days. Use a planner to mark the important dates against the set deadlines.

- **Delegation of Responsibilities**

  Learn to say "NO" at workplace. Don't do everything on your own. There are other people as well. One should not accept something which he knows is difficult for him. The roles and responsibilities must be delegated as per interest and specialization of employees for them to finish tasks within deadlines. A person who does not have knowledge about something needs more time than someone who knows the work well.

- **Prioritizing Tasks**

  Prioritize the tasks as per their importance and urgency. Know the difference between important and urgent work. Identify which tasks should be done within a day, which all should be done within a month and so on. Tasks which are most important should be done earlier.

- **Spending the right time on right activity**

  Develop the habit of doing the right thing at the right time. Work done at the wrong time is not of much use. Don't waste a complete day on something which can be done in an hour or so. Also keep some time separate for your personal calls or checking updates on Facebook or Twitter. After all human being is not a machine.

For Effective Time Management one needs to be:

Organized - Avoid keeping stacks of file and heaps of paper at your workstation. Throw what all you don't need. Put important documents in folders. Keep the files in their respective drawers with labels on top of each file. It saves time which goes on unnecessary searching.

Don't misuse time - Do not kill time by loitering or gossiping around. Concentrate on your work and finish assignments on time. Remember your organization is not paying you for playing games on computer or peeping into other's cubicles. First complete your work and then do whatever you feel like doing. Don't wait till the last moment.

Be Focussed - One needs to be focused for effective time management.

Develop the habit of using planners, organizers, table top calendars for better time management. Set reminders on phones or your personal computers.

Time Management Techniques

Time management refers to the judicious use of time for achieving success in life. Time Management helps an individual to make the best possible use of time. It is essential for individuals to value time and allocate the right time to the right activity. Let us go through some Time Management Techniques:

1. Create a time audit.

When it comes to time management, the first step you need to take is finding out where your time actually goes. You may believe that you only send 30 minutes on emails, but in reality that task is eating-up an hour of your day.

The easiest way to keep track of your time is to download an app like Rescue Time, Toggl or my app Calendar to track everything you do for a week. You can then access a report to find out what's stealing your time. With this information, you can then make the appropriate adjustments.

2. Set a time limit to each task.

I've found that setting a time limit to each task prevents me from getting distracted or procrastinating. For example, if I want to write an article for my blog, I give myself two hours. So if I started at 8am, I try to get it written by 10am.

In a way, it becomes game.

Since I put buffers between tasks and activities, if I don't complete the task on time, I can still work on it without eating into the time reserved for something else.

3. Use a to-do-list, but don't abandon tasks.

"All goals and projects are made up of smaller parts that need to be accomplished in order to achieve the goal, or complete the project. Create to-do lists for each goal and project, listing all the measurable steps that need to be accomplished," suggests William Lipovsky.

"Aside from keeping you focused, this also motivates you as you are able to see what you have already achieved, and what remains."

At the same time, there will interruptions that may prevent you from completing a task. William recommends that you "make a point of always returning to and completing these tasks once you are able to. This may require you to set a limit on the number of tasks you are working on at any given time."

4. Plan ahead.

One of the worst things that you can do is wake-up without a plan for the day. Instead of focusing on what needs to be done, you wander aimlessly and take care of more trivial matters.

That's why you should always plan ahead using one of these options;

- **The night before.** Before you leave work for the day, spend the last 15-minutes organizing your office and composing a list of your most important items for tomorrow.

- **First thing in the morning.** During your morning routine write down the 3 or 4 most urgent and important matters that need to be addressed today and work on those when you're most productive.

5. Spend your mornings on MITs.

Mark Twain once said, "If it's your job to eat a frog, it's best to do it first thing in the morning. And if it's your job to eat two frogs, it's best to eat the biggest one first."

Gross? Sure. But, the point that Twain was making that you should take care your biggest and most-challenging tasks in the morning, aka your most important tasks (MITs) of the day.

There are a couple reasons why this such an effective time management trick. For starters, you usually have the most amount of energy in the AM. So it's better to tackle these tasks when you're not drained. Also, you can use that feeling of accomplishment to get through the rest of the day.

6. Learn to delegate/outsource.

Delegation and outsourcing can get a bit tricky. For some it's hard to let someone else do work that they used to do. For others, they don't have the time to train someone else to complete certain tasks.

The thing is, delegating or outsourcing are real time-savers since it lessens your workload - which means you have more time to spend on more important tasks or doing less work. Either hand over responsibilities to team members who are qualified or hire an experienced freelancer. And, if you do decide to do in-house training, the initial investment will be worth-it in the end.

7. Eliminate half-work.

"Usually we're balancing the needs of messages, emails, and to–do lists at the same time that we are trying to get something accomplished. It's rare that we are fully engaged in the task at hand."

Clear has dubbed this "half–work" and here are a couple of examples;

- You're writing a report, but stop randomly to check your phone for no reason.
- You try out a new workout routine, but switch to a new program a couple of day later because you read about it online.
- While talking on the phone, your mind wanders to your email inbox.

"Regardless of where and how you fall into the trap of half–work, the result is always the same: you're never fully engaged in the task at hand, you rarely commit to a task for extended periods of time, and it takes you twice as long to accomplish half as much," adds Clear.

Clear has found that the best way to overcome half-work is by blocking "out significant time to focus on one project and eliminate everything else." For example, he'll pick one exercise

and only focus on that exercise while working out. He'll also carve out a few hours to devote to an important project, but will leave the phone in another room.

"This complete elimination of distractions is the only way I know to get into deep, focused work and avoid fragmented sessions where you're merely doing half–work."

8. Change your schedule.

If you're reading this article then it's obviously because you want to discover some useful time management - and I'm more than happy to help you put. But, if you're struggling with time management, the solution may be as simple as changing your schedule around.

For example, instead of sleeping-in until 6:30am, wake-up an hour earlier. Personally, I find 5:15am to be the most productive time of the day since it gives me time to exercise, plan-out my day, go through my emails, and even work on side projects without being disturbed.

Also, consider waking-up earlier on the weekends and maybe cut-down on the amount of TV that you watch.

9. Leave a buffer-time between tasks and meetings.

Jumping immediately from one task or meeting to the next may seem like a good use of your time, but it actually has the opposite effect. We need time to clear our minds and recharge by going for a walk, meditating, or just daydreaming. After all, the human brain can only focus for about 90-minutes at a time.

Without that break it's more difficult to stay focused and motivated. Scheduling buffer-time also can prevent running late to your next meeting. I find 25-minutes between tasks and meetings an ideal amount of buffer-time.

10. Get organized and single-task.

The average American spends 2.5 days each year looking for misplaced items. As a result, we spend a lot annually in replacing these items. Instead of wasting both your time and money, get organized.

Start by having a home for everything and making sure that items are put back where they belong. As the end of the day clean your workplace and create a document management system.

And, start single-tasking. Most people cite multitasking as the main culprit for misplacing items.

11. Follow the 80-20 rule.

"The Pareto Principle also known as the 80-20 rule suggests that 80% of results come from 20% of the effort put in. This is commonly used in sales as 80% of sales typically come from 20% of the customers," writes Renzo Costarella in a previous Calendar post.

"When it comes to how you should manage your time this principle can also be applied. 80% of your results comes from 20% of your actions."

Renzo suggests that you start by looking "at your schedule or to-do-list every day. For the sake of simplicity try to get down five tasks you need to accomplish. Using the principle you can probably eliminate the majority of the items on your list. It may feel unnatural at first but overtime this will condition you to scale up effort on the most important tasks."

12. Use an online calendar.

Calendars have long been a fundamental tool for time management. However, online calendars have taken this to the next level. That's because you can access it from multiple devices, easily schedule meetings and appointments, set up reminders, create time blocks, and schedule recurring events.

Personally, I use Google Calendar. I think it's the best. But Outlook and Apple Calendar also work well.

13. Stop being perfect.

When you're a perfectionist, nothing will ever be good enough. That means you'll keep going back to same task over and over again. How productive do you think your day will be as a result?

So, stop being perfect. It doesn't exist. Do the best you can and move on.

14. Just say "No."

I know that you don't want to upset anyone. But you can only handle so much. If you already have a full plate then decline that dinner invitation or helping your colleagues on a project until you have the spare time.

15. Instil keystone habits.

Charles Duhigg, author of "The Power of Habit," coined the term "keystone habits." But, what are they? Simply put, they're habits that can transform your life, such as exercising, tracking what you eat, developing daily routines, and meditating.

These habits replace bad habits and solicit other good habits. As a result, you'll be healthier, more focused, and better suited to manage your time.

16. Don't waste time waiting.

I'll be honest. I can't stand waiting. It's not that I'm impatient. It's just that I know that this is time that could be better spent elsewhere.

However, instead of wasting this time, I've found ways to make the best of it. For example, while sitting in a waiting room I'll read an inspirational book, listen to a podcast, or blueprint an upcoming blog post.

17. Telecommute.

Did you know that the average American commute is over 26 minutes? And, to make matters worse, that daily commute is getting longer. Add on-top the amo unt of time it takes getting ready and you can easily see how much time is wasted getting to and from work.

While not possible for every job, telecommuting even twice a week can end-up saving you several hours per week.

18. Find inspiration.

When I'm dragging, I use inspirational sources like a TED Talk or biography. It's a simple way to reignite that fire to get me motivated and back-on-track.

19. Batch similar task together.

When you have related work, batch them together. For example, don't answer your emails and phone calls throughout the day. Schedule a specific time to handle these tasks.

The reason? Different tasks demand different types of thinking. By batching related tasks together, your brain isn't switching gears - which means you cut out that time reorienting.

20. Do less.

Doing less doesn't mean "less is more." It means "less is better." This is achieved by slowing down, being aware of what needs to be done, and concentrating only on those things. Once you do, make every action count. As a result you'll be creating more value instead of just fodder.

Role of Managers in Inculcating Time Management Skills in Employees

Do you find it difficult to complete assignments on time?

"Remember time once gone never comes back." Doing the right thing at the right time is an art and comes with planning and understanding. Time Management is nothing but making the best possible use of time.

Managers and superiors play an important role in inculcating time management skills in employees:

The role of superiors is not only to sit in closed cabins but also to monitor subordinates. **Managers must lead by example**. The best way to finish work on time is to be

punctual at workplace. If you expect your team members to reach office on time, you yourself have to be disciplined. Almost everywhere superiors are given some liberty but one should not misuse his power.

The rules and regulations of an organization are not only meant for subordinates but also for team leaders and superiors. Managers must adhere to guidelines of the organization for their team members to respect company's policies.

Ask your employees to keep their work stations organized. Go to each of their desks and check whether files and folders have been arranged properly or not? Make sure there are no heaps of paper on their desks. Instruct your employees to clean their drawers at least once in a week.

Ask your administration supervisor to issue notepads, registers, pens, folders etc to all your employees. Point them out if they write on loose papers. As managers it is your responsibility to tell them their mistakes so that they manage things well. Personally check their drawers once in a while.

Delegate them responsibilities as per their specialization, educational qualification and background. Design their key responsibility areas after discussing what they are best at for them to take interest in work and complete assignments on time. Convey them their targets and deadlines from the very beginning. Make them aware of the goals and objectives of the organization.

Keep a track of employee performance. Install software which tells you when an employee enters and leaves the office. Implement a strong reporting system. Give them deadlines and ensure they finish work within the stipulated time frame. Appreciate employees who finish their work on time in the presence of all.

It is essential for the superiors to know what their employees are up to. Try to find out what they do the whole day. Motivate them to prepare a TO DO List. Check their task plan and make sure they do important and urgent tasks first.

Promote various training programs to instill time management skills in employees. Conduct various workshops where employees can be given certain tasks apart from their daily work. Ask them to finish off activities within the assigned time slots. Reward them suitably.

Be a good listener. Employees must have an easy access to their Boss's cabin. Proper coordination between employees and their team leaders is essential for effective time management. Do not keep tasks pending at your end. Give approvals on time and make sure your team members do not indulge in unproductive tasks.

Becoming a Time Multiplier

As leaders, we can't solve today's time management challenges with yesterday's time management thinking.

The next level of results requires the next level of thinking.

According to a recent survey we conducted with more than 4,000 respondents, 74% of people say they are not maximizing their potential at the office. It is because the vast majority of them are using old paradigms as it relates to how they use their time.

We also noticed however that a few have evolved and a new type of thinker has emerged as it relates to time management. We call them Multipliers.

While most of us still stress and struggle with the barrage of urgent requests and the noise of emergencies vying for attention as to what is the most important use of our day, Multipliers have broken free.

Instead of evaluating their time and tasks on traditional criteria of Urgency and Importance by asking "what's the most important thing I can do today?", Multiplier Leaders make the Significance calculation by instead asking "how can I use my time in a way today that creates more time tomorrow?"

Urgency is how soon does this matter.
Importance is how much does it matter.
But **Significance** is how long is this going to matter.

Significance is a part of determining Importance just like Urgency is. However, absent the Significance calculation we inadvertently overweight the Urgency calculation. Which aligns almost exactly with the most common response to how many described their day when they said some derivation of, "it feels like I'm constantly putting out fires."

Yet Multiplier Leaders operate differently. Instead of trying to cram as many tasks and emergencies as possible into a 24 hour day, they instead are always thinking about tomorrow and the next day and the next day.

The Focus Funnel™ visually displays the 5-step checklist that Multiplier Leaders use to evaluate what tasks they will choose to spend their time on.

1. Eliminate – Is this even worth doing?

2. Automate – Can this be systematized somehow?

3. Delegate – Is it possible to train someone else how to do this?

If a task cannot be eliminated, automated or delegated then the final remaining question is "must this task be done now or can it wait until later?"

4. Concentrate – If the task must be done now then they give themselves the permission to protect that task and drive it to completion.

5. Procrastinate – if the task can wait until later then Multipliers encourage you to Procrastinate on Purpose. Procrastinating on purpose is deciding intentionally to wait in order to buy yourself more time so as to mitigate the risk of unexpected change cost.

Multipliers have stopped trying to prioritize the Urgent and are instead prioritizing the Significant.

They aren't trying to figure out how they can fit more into a day.

They are thinking about how to multiply their time. And you multiply time by giving yourself the emotional permission to invest time into things today that give you more time tomorrow.

The 7 Habits of Highly Effective People®

One of the most compelling books ever written, The 7 Habits of Highly Effective People®, have empowered and inspired readers for over 25 years and played a part in the transformation of millions of lives, across all age groups and professions.

Habit 1: Be Proactive®
Achieve extraordinary results by consistently executing their R & I (resourcefulness and initiative) to break through barriers.

Habit 2: Begin With the End in Mind®
Develop an outcome-oriented mindset in every activity they engage in—projects, meetings, presentations, contributions, etc.

Habit 3: Put First Things First®
Eliminate energy and time-wasting tendencies by focusing and executing on the team's wildly important goals with a weekly planning cadence.

Habit 4: Think Win-Win®
Lead teams that are motivated to perform superbly through a shared expectation and accountability process.

Habit 5: Seek First to Understand, Then to Be Understood®
Create an atmosphere of helpful give-and-take by taking the time to fully understand issues, and give candid and accurate feedback.

Habit 6: Synergize®
Demonstrate innovative problem-solving skills by seeking out differences and new and better alternatives.

Habit 7: Sharpen the Saw®
Tap into the highest and best contribution of everyone on a team by unlocking the total strength, passion, capability, and spirit of each individual.

Acknowledgements:

1) https://www.managementstudyguide.com/time-management-articles.htm

2) https://www.forbes.com/sites/johnrampton/2018/05/01/manipulate-time-with-these-powerful-20-time-management-tips/#23f768b957ab

3) https://www.southwesternconsulting.com/roryvaden/blog/becoming-a-time-multiplier/

4) https://www.franklincovey.com/the-7-habits.html

PROCUREMENT CONTRACTS
TENDERS & CONTRACTS

Procurement Contracts

Purchasing in government setup is a complex and there is need to take care of many rules and regulation which has been framed by Government of India. In there are broadly two types of items namely Stock items and Non-stock items. For Stock items materials Management Department is fully responsible from generation of demand, issue of tender, finalisation of order, receipt of material, safe custody of material, issue to various consignees, received of used/scrap material, auction and disposal. However, for Non-stock items the responsibility of stores department is limited to purchasing and all other activities is controlled by user department. Therefore it is necessary to know various aspects encountered with the government purchase so that user is prepared to deal with various situations arising in procurement of items. Some of the important features in procurement contracts is explained below:

1. **Non-Stock Indents** – While preparing the demand following should observed:
   - **a. Should be prepared in prescribed format**
   - **b. Description should be complete**
   - **c. Splitting should be avoided**
   - **d. Clear funds certification of current financial year (Delivery Period)**
   - **e. Indicate LP rates and likely sources as it helps in procurement**
   - **f. Vetting as per latest instruction and signing of PAC as per latest instructions.**
   - **g. Para 1.2 (b) Stores model SOP (Rs 25 Lakh PHOD)**
   - **h. Para 1.3 (a) Stores model SOP (Rs 2.5 Lakh Non-Safety)**
   - **i. Signing as per latest instructions**
   - **j. Para 1.2 (a) Stores model SOP (Rs 45 Lakh PHOD, SAG 15 to 45 lakh, JAG 2 to 15 Lakh)**

2. **PAC purchase** – Following is the standard Railway PAC format:

Annexure to letter No. 76/RS (G)/779/55 dated 21st May 1982.

Certificate for Purchase of Proprietary Article

(1) Description of Article -
(2) Quantity -
(3) Approximate cost, if known -
(4) Maker's name and address –
(5) Name of Local Agents -
(6) I approve the above purchase and I certify that: --

- **(a) No other make/brand will be suitable.**
- **(b) This is the only firm who is manufacturing/stocking this item.**
- **(c) A similar article is not manufactured/sold by any other firm, which could be used in lieu.**

Note- Delete (a) or (c) whichever is not necessary.

Signature ----------

Date ---------- Designation of Officer ----------

To make the PAC unqualified so that full powers can be exercised by purchase officer (a) has to be deleted and (b) and (c) is to be ticked. If this is not done than the PAC becomes qualified and purchase powers get restricted. Powers for signing of PAC has to be strictly observed as per latest Railway Board Instructions

In GeM as GFR is applicable so PAC format is different and is as follows:

GFR 2017 Rule 166

PROPRIETARY ARTICLE CERTIFICATE

1. The indented goods are manufactured by

2. No other make or model is acceptable for the following reasons:

3. Concurrence of finance wing to the proposal vide: …….

4. Approval of the competent authority vide: ……..
……...

Signature with date and designation of the
Procuring officer

3. **Tender Document:** Apart from tender page which is specific for an item and includes description, delivery schedule, inspection, consignee, opening date etc. (which is different for each item). It may consider special eligibility condition specific to the item, it should not restrict competition, following two documents are common for all the items:
   a. **IRS conditions of contract common for all railways and PUs**
   b. **Special conditions of contract is specific to Zonal railways and PUs. However, have minor changes amongst railways and PUs**

   In any tender last successful supplier should invariably be included unless the firm has been banned or delisted. As per latest instruction advertised tender should be invited for purchase value above Rs 25 lakh. Latest instruction in this matter has to be followed.

4. **Consideration of offers: Following are some of the important aspects:**
   a. Rate considered should be acceptable with reference to previously accepted rates/taking into account market rates and analysis of rates based on market condition
   b. Technical suitability to be seen w.r.t. tender speci fication and schedule of requirement
   c. Record relevant reasons for overlooking the lowest offer if it is not acceptable
   d. Finalization of cases within original validity
   e. Acceptance of lowest acceptable offer:

f. Re-tender (Record Reasons), or Drop the purchase but take higher authority approval (this is the normal norm in zonal railways)

5. **Single offer against Limited tender or Advertised Tender:** If single offer is received against advertised tender and rates are found to be reasonable then the offer can be accepted. However, for limited tender following is to be followed:
   - **a. Re-tender except in urgency (Stock Item – Stores, Non-Stock - Indentor)**
   - **b. Re-tendering may not really help**
   - **c. Single offer against 2nd LT, practises vary**
   - **d. Can be settled, if rate is reasonable**

6. **Consideration of offer from untried firm:** New firm or untried firm should submit following:
   - **a. EMD/SD, Bankers' Particulars, Performance Statement**
   - **b. Details of Equipment & Technical Personnel,**

   In case firm is not able to submit than the firm offer can be ignored. If the firm submits the credentials then it should be verified. New firm can also be considered for 20% developmental order only.

7. **Offer received from Agent:** OEMs can authorize and give Tender Specific Authorization to its Agent / dealers to quote on their behalf provided the vendor takes full responsibility for the quality of the material including warranty obligation and the inspection of product against Railway's order is carried out at the manufacturer's premises. There are some other important points which are mentioned in special conditions of contract.

8. **SPOT Purchase:** It has no codal provision and is basically a local procedure. Finance concurrence and GM approval is required for each spot purchase. It is generally used in emergency or for items where it is difficult to frame complete description and purchase is dependent on aesthetic appeals like utensils, furniture, food items etc.

9. **Time preference order:** It has to be specified in enquiry that time preference order will be placed. Purchase officer have to go higher offer with less delivery period in spite lower offer exist but with higher delivery period. In case time preference order is placed at a higher rate and firm delays the supply than payment is made as per lowest rate received in the tender whose offer was not considered because of higher delivery period.

10. **Quantity to be ordered:** In special Conditions of Contract it is mentioned that Railways reserves the right to place order for any quantity. Option clause +/- 30% exist only contract cases above 75 lakh. Fr operation of option clause proper notice has to be given.

11. **Eligibility Criteria:** One of the important eligibility criteria is placement of bulk order on approved sources (RDSO/ICF/CLW etc.). Following are important aspects:
    a. **Minimum 80% of ordered quantity**
    b. **Approval should be at the time of tender opening, however downgrading if done subsequently has to be considered**
    c. **For Non-approved source item: firm found otherwise capable and duly considering factors such as past performance, capacity, delivery requirement, quantity under procurement, nature of item, outstanding orders load etc.**

12. **Splitting of Tender Quantity:** A pre-decided splitting criteria is mentioned in the special conditions of contract. This clause stipulates splitting in certain percentage based in difference in rates between L1, L2, L3 etc. Even if pre-decided splitting is not mentioned and there is need for splitting than it should normally be done as per formulae given in splitting clause. Normally used in PUs.

13. **Other aspects:** Tender cost is not required in advertised tenders, Preference to Micro and Small Scale industry. Normally for Micro and Small Scale Industry Payment also should be prompt within 45 days. Latest circulars should be seen in these aspects. Other circulars "Preference for make in India" and "Preference to Domestic Manufacturers in case of electronic items".

14. **Complexity in Stores Tenders:** Following are the difficulties in many supply tender:
    a. **Many offers without tender cost/EMD and could be non-serious offer.**
    b. **Offer from sister concerns and lack of competition especially from RDSO approved suppliers**
    c. **Arbitrary increase in price with no proper justification. Negotiation not yielding any fruitful result**
    d. **Cartel formation**

15. **Counter offer:** Although allowed in stores contract but should be based on documentary proof. Normally accepted PO rates of any other railways can be given as counter offer. Own calculated rates counter offer should be avoided. May severely complicate a case if counter offer not accepted by firm and retender brings higher rate than counter offered rate.

16. **New Initiatives: -** Following are some of the new initiatives in stores procurement:
    a. **Long term contracting - Instead of one year purchase, contract is entered for three years. Useful in PUs but zonal railways are also attempting to enter into long term contract especially for cluster items**
    b. **Cluster of Items – Instead of each railway buying its own requirement, requirement of nearby railways is clubbed resulting in bulk purchase and better rates.**

c. **Pre-dispatch Inspection not insisted – Exempted for few BIS items and RDSO controlled item. Material accepted on Work test Certificate (WTC) of supplier.**

17. **Post Contract:** Following are important points in post contract cases:

a. **General Damages: - To be levied as per SOP Para 5(c). GD is 2% per month or part thereof.**
b. **Material acceptance after delivery period: - To be levied as per SOP Para 5. Consignee can accept material up to six months for order value up to Rs 8 lakhs and 21 days for order value between Rs 8 to 15 lakhs**
c. **Inspection: Minimum value of purchase order for inclusion of RITES/RDSO inspection is Rs 5 Lakhs (Rly. Bd. letter No. 2000/RS (G)/379/2 dt. 06.09.2017)**
d. **Be vigilant about increase/decrease in prices, revision of taxes and duties while granting extension to delivery dates.**
e. **Be vigilant about requests for change of inspection clauses as request may come from the supplier for such a change to get over some inconvenient inspecting agencies**
f. **Always guard against suppliers asking for relaxations in description or specifications after release of order, as it is quite possible that the relaxation asked for has been already rejected in the original tender. As the suppliers to write to the purchase authority for any amendments to the terms of the Purchase Order.**
g. **Excess/Less supply: To be levied as per SOP Para 5 (a). Max 5% of contract value or Rs. 800,000/-, else contact purchase officer**
h. **Warranty Obligation: Detailed instruction given in Railway Board Letter No. 2000/RS (G)/379/2 dt. 07.08.2015. Salient features of this letter is as follows:**
    i. **Depot to handle cases if issued from the depot and PO details are established**
    ii. **For material directly received from PU, NS or assistance from other depot material to be kept in safe custody in workshop/shed and details to be advised to issued depot/PU**
    iii. **Warranty rejection to be issued. Joint inspection time limit is 45 days**
    iv. **Inspection by same agency for warranty replacement**
    v. **In case it is not feasible to get inspected from same agency in case in material received from PU/other depots than decision of inspection can be taken locally**

18. **Risk Purchase:** Following are the important aspects:

a. **Risk purchase can be made under same terms and condition; however it can be made liberal like instead of limited tender. Open tender can be**

issued. In case of Specification Payment terms, Inspection, LD condition, Arbitration etc. it should be same

b. No RP on full/balance orders of a firm removed from approved list

c. Defaulter to be included for tendering & consideration of tender

- **i. If defaulter's quotation is lowest call 10% SD**
- **ii. If SD confirmed/furnished he is to get the Order, else RP may not be tenable**
- **iii. RP order to be placed within 6/9 month from the date of last DD**
- **iv. This period to be clearly indicated in the PO**
- **v. Can only withhold payment against other contracts, can not deduct, unilaterally**
- **vi. For safety items if SD taken than RP should not be done and SD should be forfeited**

d. RP to be valid (Tenable) for recovery of loss

e. RP @ Reasonable Rate: Claim Full Loss

f. RP @ same/lower Rate: NO RP Loss/GD to be recovered. May take administrative action

g. No RP done; demand reviewed or RP done to a different Specification: General Damages

h. No RP loss but inconvenience: NO GD, but administrative action, but varies Rly. To Rly.

STORE PROCESSES

MATERIALS MANAGEMENT

1.0 Introduction

1.1 General: For running any industry or business, we need a number of resources. These resources are popularly known as five M's of any Industrial activity i.e. Men, Machines, Materials, Money and Management. All these resources, which are basic inputs, are important but their relative importance depends upon the particular type of industry and also other environmental factors. Earlier, when many modern machines were not even known, whole activity was centered around one source, the men. But now the importance has by and large shifted from "men" to "machines" and in the recent environment, materials are the life blood of any industry or business and for their proper running, materials should be at proper time in proper quantity at proper place. Such compelling considerations have led to holistic management concepts like Supply Chain Management

1.2 Profitability: Basic goals of any industry are survival and earning profits to make adequate returns on capital employed (investment). The profitability of any organization can be judged by a ratio known as 'Rate of Return on Investment" which is defined as profits earned per unit investment-

i.e. Rate of Return (ROR) $= \frac{\text{Profit}}{\text{Capital Employed (investment)}}$

$$\text{ROR} = \frac{\text{Total Receipt (Revenue)– Total Expenditure}}{\text{Fixed Assets + Current Assets}}$$

Different strategies for improving profitability (ROR) may be as under: -

(i) To increase total receipts: For this either sales have to be increased or the prices of the products sold have to be increased. Both these alternatives are very difficult to achieve in present competitive market.

(ii) To reduce Expenditure: Majority of the expenditure of any industry is either on men or materials. The relative expenditure on men and materials vary from industry to industry but in most of the industries' expenditure on materials is 45% to 70% of total expenditure, while expenditure on men will be around 45% to 50%. Therefore, two broad areas for reducing expenditure are men and materials. However, reducing expenditure on men is a very difficult task in today's environment of tight labour laws and strong trade unions. Therefore, the other area to be tackled remains reducing expenditure on materials. When we talk of expenditure on materials, it is relevant to point out here that there are two types of costs related to materials- "cost of materials" and "cost on materials" i.e. there is always some extra expenditure related to materials which is not actual cost of materials. It needs to be appreciated that we can very well tackle these extra costs (cost on materials) without compromising the actual level of service (consumption) and achieve reduction in expenditure.

(iii) Reduce investment in fixed assets: As investment has already been made, there is very little scope for reducing expenditure on fixed assets.

(iv) Reduce investment in Current Assets: Current assets consist of mainly working capital and inventory. As a rough estimate, about 40% of current assets are generally tied up in inventories of raw materials, consumables, materials under different stages of production and finished goods. If we could reduce stocks of these different types of inventories, we can very well reduce investments in current assets and improve profitability.

1.3 Functions of Materials Management Department:

(i) Planning: For materials there is invariably a need for planning. Apart from day-to-day activity, a material manager keeps a watch on the future activities of the organisation, which may call for specific items' procurement in turn. Planning plays a very important role in assessing the quantity of the material, funds availability for procurement and right sources for supply.

(ii) Procurement / Purchasing: Procurement of an item does not mean necessarily purchasing. An item may be manufactured in the workshop or may be got transferred from another place as available. Alternatively, item may be purchased from the out-side market. There are two basic types of purchasing in business world - Purchasing for re-sale and purchasing for manufacturing or conversion. In our organisation we are basically concerned with purchasing for manufacturing process or for consumption for maintenance and repair work.

(iii) Warehousing (Store-keeping): To make materials available when required and to avoid stoppage of work, it becomes necessary to maintain adequate stocks of a large number of items. It involves a considerable amount of planning to decide the items to be stocked, the locations where these stocks are to be maintained, such as warehouses (stores depots), stacking arrangements and handling equipments etc. to be provided. The procedure for receipts, inspection, issues and accountal of materials and so on have also to be in place. Proper methods of stocking and "preservation techniques" are to be thought of. In manufacturing organisations arrangements of warehousing are to be made not only for raw materials, spares and consumables but for finished products and partly processed materials as well.

(iv) Inventory Control: To maintain stocks of materials at the correct level is a tricky problem. For giving better services and to get price advantage it may be necessary to buy in bulk (Economy of scale). But this may mean blocking of substantial amount of money and the inventory carrying costs also go up. If we buy very frequently, cost of ordering goes up. In addition we may not get the quantity discounts. The risk of materials not available when required and the consequent additional costs to the organization, have to be kept in view. Inventory control therefore, involves designing and following such policies, which will minimize sum total of various costs (the inventory carrying cost and ordering cost) related to materials in an organisation. Inventory control calls for right quantity, right quality, at right price from right source, at right place, at right time.

(v) Surplus /Obsolete / Scrap Disposal: During the process of manufacturing, production, track renewals, gauge conversion, etc. Railways generate large quantities of scrap, collection and

disposal of which also is a big task. Our (Indian Railway's) annual scrap sale is Rs. 4400 Crores (2010-11) approximately.

(vi) Distribution: Transportation and distribution of raw materials, spares, consumable as well as finished products is an important activity as it involves substantial costs. Efficient & responsive distribution system is very necessary for giving a good service. In the Railways, we are basically concerned with distribution of raw materials, spares and consumables, as the finished product is not in the material form but in transportation service itself. Movement of material for Railway indentors may be by road transport, wagons, parcel vans, per bearer etc.

(vii) Value analysis and cost reduction: Value analysis talks about value of an item in use, in terms of primary function and cost of the material to achieve the function. It is possible to keep the primary function of the product unchanged and reduce the cost of the material. Value of an item can also be increased by increasing the function and keeping the cost as unchanged. Value analysis may be gainfully applied for high annual usage value items like "A" category items.

1.4 Objectives of the Materials Management Department of IR:

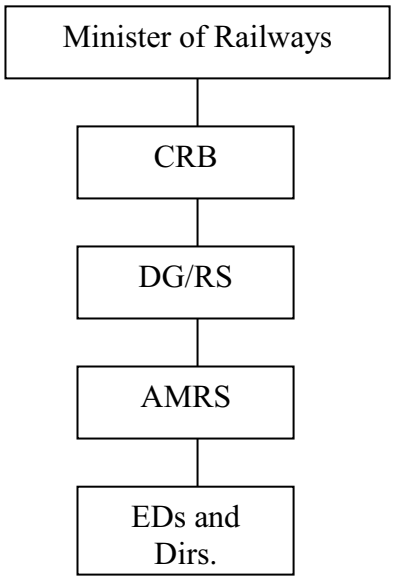
(i) Ascertaining the needs of various departments in the matter of Stores & materials.
(ii) Preparing a correct estimate of the quantities of stores to be purchased or manufactured in Railway workshops each year.
(iii) Obtaining stores of the desired quality at competitive prices.
(iv) Ensuring supply of stores in the required quantity in the most efficient, economical and expeditious manner.
(v) Maintaining an economic level of investment in inventories.
(vi) Receipt, inspection, stocking and distribution of stores to various consuming points as and when required.
(vii) Identifying and arranging disposal of scrap and other obsolete material within the shortest possible time to the best advantage of the Railway.
(viii) Developing ancillary industries and indigenous sources of supply to replace imports and
(ix) Maintaining a constant touch with the market to ensure steady flow of material.

1.5 Organization of Materials Management Department: The Indian Railways network is owned and managed by the Central Government. Operations are controlled and directed by the Railway Board under the over-all supervision of the Minister of Railways. The network of Railways is divided into 17 Zonal Railways, each under the control of a General Manager. Each Railway zone is organized on the Divisional pattern of working.

In addition, there are six Production Units- viz. Chittaranjan Locomotive Works (Electric Locomotives), Chittaranjan; Integral Coach Factory (Integrated coaches), Chennai; Diesel Locomotive Works (Diesel Locomotives), Varanasi; Rail Wheel Factory, Bengaluru; Diesel Modernization Works (Diesel Loco Components), Patiala and Railway Coach Factory, Kapurthala.

On a Zonal Railway, General Manager is assisted by Additional General Manager and Heads of different departments such as Principal Chief Materials Manager, Principal Chief Engineer, Principal Chief Optg. Mgr., Principal Chief Comml. Mgr., Principal Chief Mech. Engineer, etc

1.5.1 Materials Management Organisation in Railway Board



(Fig.I)

In Railway Board, Member (Mechanical) looks after the materials management function and Additional Member (Railway Stores) is the head of Railway Stores Directorate.

There are Executive Directors, Directors/Joint Directors and equal number of Deputy Directors in this Directorate.

The functions of Railway Stores Directorate in Railway Board are summarized below: -

(a) Framing Policies: For efficient materials management on Railways and issue of policy directives to all Zonal Railways and production units on stores and purchase matters and to coordinate various activities of materials management.

(b) Inventory Control: Railway Board evolves policies for efficient inventory management on Indian Railways. For this, integrated materials budget is processed by this Directorate. They also monitor inventory performance of Railways and production units by getting periodic returns from the Railways/PUs and issue directives from time to time.

(c) Centralized Purchase: Railway Stores directorate is also doing the function of purchases. Some of the items required by Railways are centralized for purchase through Railway Board only, which are as under:

- Complete units of Rolling Stock,
- Wheels, Tyres & Axles (WTA),
- Oils (HSD, kerosene, petrol) and lubricants,
- Selected critical items for which capacity is either equal to or less than Railways' demands. These items are centralized for purchase through Railway Board to ensure equitable distribution as per needs of Railways. Some of these items are:
    - Some rubber products,
    - Special steel items,
    - Composite Brake Blocks etc.
- Processing of all cases initiated by Zonal Railways but the purchase is beyond competence of General Manager (For Purchases more than Rs. 50 crores per item).

(d) Liaison with other Ministries: Based on recommendations of the Group of Secretaries, decided to set up a dedicated e market for different goods & services procured by Government Organisations / Departments / PSUs. This meant transforming **DGS&D** to a digital ecommerce portal for procurement and selling of goods and services.

Government e Marketplace (GeM), created in a record time of five months, facilitates online procurement of common use Goods & Services required by various Government Departments / Organisations / PSUs. GeM aims to enhance transparency, efficiency and speed in public procurement. It provides the tools of e-bidding, reverse e-auction and demand aggregation to facilitate the government users, achieve the best value for their money.

Government of India (Allocation of Business) Rules, 1961, vide notification dated 8th December 2017 has made the following entry

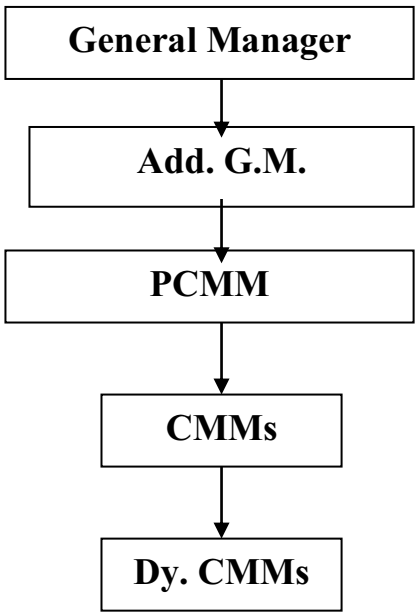
> 32. Development, operation and maintenance of National Public Procurement Portal—Government e Marketplace".

The purchases through GeM by Government users have been authorised and made mandatory by Ministry of Finance by adding a new Rule No. 149 in the General Financial Rules, 2017.

In cases of imports sometimes, we may require clearance from Ministry of Industry & DGFT. To maintain good liaison with DGS&D and other Ministries, Railway Stores Directorate have posted one JA/SG Grade officer in Board who is designated as Railway Liaison Officer.

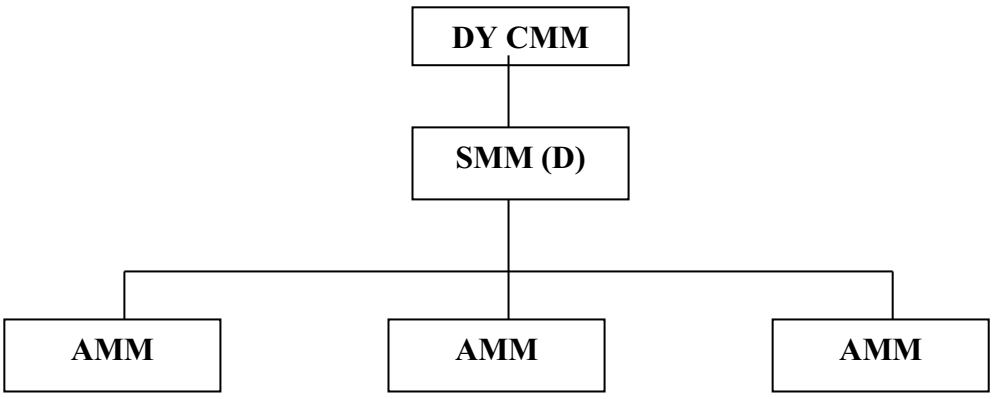
(e) Coordination for supply of steel from main steel producers to various Railways and production Units- For this purpose Railway Stores Directorate has posted one Director at Kolkata who participates in various meetings for drawing Rolling programme and also reviews supply position of steel to various Railways and Production Units. Director (Iron & Steel), Kolkata also coordinates supply of steel to various wagon builders.

1.5.2 Materials Management Organisation at Zonal Level & Depot Level



(Fig.II)

The problem on Zonal Railways are more complex than those of a manufacturing organisation as there are thousand of indentors spread over a large geographic area. The Railways, therefore, have to plan locations of various stores depots with care. Normally stores depots are located attached to the major workshops and are known as attached depots. In addition, stores depots for materials of general nature, which are required by most of the indentors are situated at one or more locations from where the supplies can be effected. These are called General Stores Depots.



(Fig. III)

Stores Depots are generally under the supervision of Gazetted officers of the stores department referred as Depot officers. A Depot officer is responsible to the Principal Chief Materials Manager for the efficient maintenance of stock of stores and for the prompt service to the indentors in his territory. The depot officer is assisted in his work by Asstt. Depot Officers and other senior staff viz. Depot Material Superintendents.

The work in a Stores Depot consists of –

1. Receipt and inspection of material
2. Storage and issue of material
3. Dispatch of material and
4. Disposal of surplus stores and scrap material.

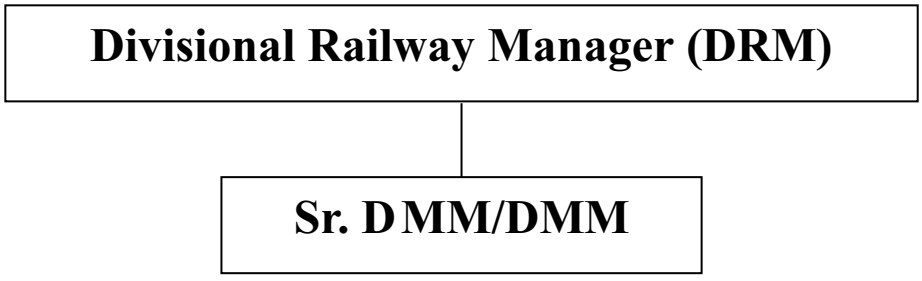
The depot is divided into different wards and sections for stocking different types of materials and to deal with the work mentioned above.

For facility of work, there should ordinarily be (i) A locomotive depot attached to and serving the main Loco workshop (ii) C&W stores depot attached to C&W workshop. (iii) Signal Stores Depot attached to Signal workshops (iv) Electrical Stores Depot attached to Elect. Shops. (v) P. Way depots for stocking P. Way & Bridge material (vi) Stationery depot. (vii) Scrap yards. (viii) General Stores Depot (ix) Electric Loco Stores Depot (x) Diesel Loco Stores Depot. (xi) Printing Stores depot attached to Railway Printing Press.

The purchase function is centralized in the HQs office of the Principal Chief Materials Manager except for items of small value, which can be directly purchased by the executive officers and by the depot officers. The Principal Chief Materials Manager is assisted by Dy.CMM who are in administrative charge of different purchase sections as well as stores depots. The purchase sections are under the charge of purchase officers in different grades called Senior Materials Managers and Assistant Materials Managers.

The function of inventory control is basically a part of every stocking organisation. For evolving suitable policies and monitoring the progress a separate cell is created as inventory control which functions in the headquarters of the Principal Chief Materials Manager.

1.5.3 Organization at Divisional level –



(Fig. IV)

(a) Administrative and Technical Control of DMM:

As with other branch officers, the Divisional Material Managers are working under the administrative control of the DRM in respect of day to day working and for technical and procedural matters, is directly responsible to PCMM and nominated CMM/Dy.CMM.

(b) Duties of Divisional Materials Manager:

I. Ensuring availability of Materials-

The Divisional Material Managers should monitor availability of imprest and non-imprest, vital/ safety/passenger amenity items besides tickets, stationery and forms. He should also monitor expeditious receipt of non-stock items requisitioned through him.

II. Ensuring economy in use of materials and making users aware of the need of such economy-

With a view to controlling any wasteful and un-warranted consumption of material and also to keep the consumption of material within the budgetary provisions, he should take appropriate steps.

III. Review of sanctioned imprest-

Regular inspection of the stocks available with imprest holders, should be carried out by the Divisional Materials Manager to ensure that the imprest limits are realistic and are regularly reviewed/revised wherever necessary. The excess stock should also be identified during such visits for further redistribution in the Divisions and, if necessary, to other Divisions or for return to the feeding stores Depot.

IV Local Purchase-

It should be ensured that stores are purchased at reasonable rates and following precautionary measures are taken during local purchase of stores-

(i) Scrutiny of firms (likely supplier)
(ii) Formation of approved list of suppliers, getting them registered in IREPS, issue of bulletins etc.
(iii) Local purchase as per the laid down procedure
(iv) Physical verification of materials on its receipt, before it is ultimately handed over to the consumers.

V. Distribution of materials from Stores Depots, Storage & Transportation

(i) The Divisional Materials Manager shall monitor the movement within his division to ensure its efficient and smooth movement.

(ii) He should attend the Divisional Control Room from time to time to monitor movement of material and meet Sr.DOM/DOMs and Sr.DME/DMEs etc. and sort out problems, if any.
(iii) He will also plan, develop and head the Divisional Stores Depot to be created in near future.
(iv) He will arrange transportation and distribution of materials by road transport within the divisional jurisdiction.
(v) He will plan storage and distribution of direct delivery items.
(vi) Identification of bulk items for storage within the Division for continuous availability of such items to improve service level.
(vii) Co-ordination with feeding depots for timely distribution of stock items and monitoring their movements from depots to Division in order to speed up distribution of material to consuming points.

VI. Scrap Generation & Disposal

(i) Identification and monitoring of scrap disposal. DMSs may be got posted in the Division for co-ordination and quick disposal of scrap.
(ii) Assisting the Auction Conducting Officer if he/she himself/herself is not authorised to sell in arrangement of scrap auctions.
(iii) Assist/guide in disposal of low value scrap on as per instructions prevalent.
(iv) He will be the convener/secretary of committee whenever set up for locating scrap in his Division.
(v) He will monitor progress of return of scrap to nominated depot.

2.0 Classification of stores

All materials are basically divided into two broad categories viz. Stock and Non-Stock items. The stock items are those items for which there is a regular demand, regular drawl or consumption and there is a regular recoupment. Non-stock items are required occasionally and not on regular basis. The Stores Department is required to give a service of making thousands of items available to the indentors when required. There are about more than one lakh stock items all over the Rlys stocked in 230 stores depot. To give this service we have to maintain stocks of a large number of items called "stock items" whereas for other items, which are not frequently required, of one-time requirement, no stocks are maintained. These items are purchased as and when required to meet specific demands and are called Non-stock items. The stock items are classified further as under:

2.1 Ordinary Stores: These are generally such items of stores for which there is a regular turn over caused by a constant demand.

2.2 Emergency stores: The stores depots are also required to stock certain items of stores even though they do not have a regular turn over. These are emergency stores and comprise of items which do not ordinarily wear out or require renewal but which are required to be kept in stock to meet emergency due to breakage or unanticipated deterioration. These items are not

readily available in the market and as such would require a long time for procurement in case they are not stocked.

2.3 Surplus Stores: Stores, which have not been issued to any user for past 24 months or more are classified as Surplus Stores. Initially they are classified as Movable Stores but if no use is anticipated on any railway in coming 24 months, the items are classified as Dead Surplus which are to be disposed off.

2.4 Special Stores: The items of stores required for works and other special purposes i.e. other than for operation of ordinary maintenance or repairs are called "Special Stores". Generally such items are dispatched directly to the users without being stocked in a Stores depot.

2.5 Custody Stores: Stores which have been purchased for special works and charged to such works but left in the custody of stores department are called custody stores. These stores mainly consist of items obtained for the mechanical department for construction of rolling stock sanctioned under the capital or revenue programme. Directly the stores are received and paid for, the cost is at once debited to the works concerned. Instead of the stores lying in the workshops until they are required, the stores depot should keep them in safe custody, proper numerical records being maintained by it.

2.6 Inactive stores: Items which have has no issues for last 12 months and stocks exist are called inactive or non-moving items. It is left to the reader to think what will happen if all items required by the railway are made as stock items or all the items are made as non-stock items.

2.7 Imprest Stores: These items are required for day-to-day operations of services and maintenance of the activity. Imprest stores may be either charged off stores or may be kept in capital account head also. Certain important units like loco sheds, TXR depots etc. require a large number of items for day-to-day repeat use, maintenance and operation of rolling stock. Such items include consumable stores like cotton waste, oils, greases etc. as well as the spares required for rolling stock. The senior supervisor in-charge of the unit like running sheds, train examination depots etc. are allowed to maintain stocks of nominated items of stores for this purpose. These stores are called imprest stores. The limits up to which the stocks are to be kept are also specified while sanctioning such items and are generally fixed as 2 or 3 months requirement. Imprest stores are like a standing advance of materials to meet the day-to-day requirement of repair, maintenance and operation of rolling stock etc. On most of the Railways imprest stores are charged off to the final head of account under revenue working expenses. However, detailed accounts are maintained by these units and monthly imprest schedules are sent by the imprest holders to the nominated stores depots for bringing their stocks to the imprest level sanctioned. This system of imprest stores is very necessary to avoid failures of supply for items, which are important and regularly required for day-to-day maintenance and operation. In case of non-compliance of demand for imprest stores, it lapses whereas for ordinary requisitions, the demand is kept pending for compliance as and when material is received.

3.0 Standard Nomenclature Lists

The details of all items having possible use on Indian Railways are contained in booklets known as nomenclature lists. These books contain complete and unambiguous description of items, their code Nos. (Known as Price List Nos. or PL Nos.), Specification or Drawing No., the unit of transaction and the depots on various Railways where the item is stocked. These details are elaborated further as under:

3.1 Complete and unambiguous description: The description would have been framed in such a way that it will not give rise to different interpretations. The objective behind is that the user should know what exactly he wants, the purchase officer should know what exactly is required to be purchased and the supplier in turn should know what is to be supplied. Otherwise there will be possibility of the same item being stocked at different places under different headings, e.g. washers being called as rings, washers, bushings, collects, grommets, spacers, etc.

3.2 Describing an item: The basic commodity method has been adopted in describing an item. In this system the mention of the basic commodity precedes the detailed description of the item. For example, “Ordinary toilet soap" would under the method be described as "Soap, Toilet, Ordinary".

The basic commodity is “soap”. The word "toilet" specifies the kind of that commodity and "ordinary" further qualifies the variety. If the basic commodity method is not used, the different kinds of soaps will find themselves listed in different places. In short, the description should be arranged in the following order of precedence:

1. **The mention of the basic commodity**
2. **The general variance in kind, use, size or shape**
3. **The particular kind or size**
4. **The specification/drawing.**

A few instances of how the items would have been described in these books are:

Items	**Nomenclature book descriptions**
Brass plated spirit level	Level, Spirit, brass plated
Taper shank twist drill	Drill, twist, taper shank.

Once the items are properly described they would be arranged in their alphabetical order.

3.3 End use of items: In some books the purpose for which the item is used is incorporated in the nomenclature list. For instance, there are numerous grades of lubricating oils stocked and used for various purposes. This information is briefly mentioned in the nomenclature not as a part of the description but say in remarks column - as this will greatly help the consumer.

3.4 Mention of maker's name: The commercial brand or the proprietary make of the item will be avoided in the description. Specification and drawing references are not only useful to suppliers, including Railway manufacturing shops but also assist the Stores department in the purchase as well as inspection of supplies.

3.5 Specification or drawing: Reference to a standard specification or in its absence the Railways drawing if any will be mentioned against each description. Such specification and drawing reference are not only useful to suppliers but also to Railway manufacturing.

3.6 The unit: As it is desirable that for a particular item, all references should conform to one and the same unit and this will avoid unnecessary references for clarifications and would also facilitate issues and receipts eliminating arithmetical errors in conversion from one unit to another. The unit code has been indicated as under for various types of items:

01 = no, 02 = pair, 03 = set, 13 = Kg, 14 = quintal, 15 = MT, 22 = Mtr and so on.

3.7 Material Code (PL No.): In order to recognize every item distinctly, each item appearing in the nomenclature book has been allotted a code number, which is also known as PL no. This Number enables unique identification of stock items and as a result of extensive standardization all over the Railways, this enables easy exchange of information on each item among the Railway Zones and Production Units. While allotting these numbers, an opportunity has also been taken to group the items in a meaningful manner, so that group wise analysis of materials is also facilitated.

3.8 Eight digit coding of PL numbers (Semi Significant System):-

**	**	***	*
A	B	C	D
MAIN GROUP	SUB GROUP	SERIAL NO.	CHECK-DIGIT

Part 'A' consists of two digits representing the MAIN-GROUP of stores to which item belongs.

Part 'B' two digits representing sub-group. Each group has been divided into SUB-GROUPs.

The sub grouping for most of the rolling stock groups is on the basis of major assemblies of which the item is a part e.g. all brake fittings, power pack, underframe.

Part 'C' consists of 3 digits and it is the serial no. of the item. No significance is attached to this number.

Part 'D'- One digit which has a special significance with reference to computerization. This is the Check digit. This digit is unique to a given number and it is intended to check the integrity of the number.

3.9 Method of checking correctness of PL Number-

Wherever the Computer encounters a code number during processing, it calculates the check digit on the basis of Modulus 11 and checks if the calculated digit tallies with the check digit shown in the document punched. If the two do not tally the Voucher is rejected. All stock items are having PL numbers, but all PL numbers are not necessarily stock items.

Unified lists are common to all Railways and facilitate easy exchange of information between the Railways. Disposal of Surplus Stores and Centralized Purchase becomes easier. In addition to PL no., Depot, Unit, Vendor, Consignee etc. are also codified.

4.0 Planning of Non-Stock Items

4.1 Important points to be kept in mind at the time of preparation and submission of requisitions for non-stock items:

(a) As far possible attempts should be made to draw standard stock items from Stores Department. If the standard stock items cannot meet the requirements, then the quantity of non-stock items to be requisitioned should be assessed realistically, keeping Canons of Financial Propriety in mind. Many times there is temptation to over-indent the quantity and ultimately excess quantity may lie in stores without any use.

(b) Description of items should be clear and detailed. As the user is not going himself to purchase the material from the market, he should examine the description as a manufacturer or inspection officer and should visualize whether he will be able to make or inspect the material on the basis of given description as per user's requirement. For this purpose, all the dimensions with necessary tolerances should be clearly specified. There should be standard specifications for all the raw materials and components used for manufacturing the product and also process of manufacturing and various types of treatments and finishes should be clearly specified. All these details are generally given in standard specifications.

In our country Bureau of Indian Standards have standardized specifications for most of the products. These specifications are known as Indian Standard Specifications (ISS). If the products to these specifications can meet our requirements, we shall always prefer goods to these specifications. If materials to IS specifications are unable to meet our requirement, we may think of going for some higher specifications such as British Standard (BS), American Society of Testing Materials (ASTM) etc. For some of the Railway items, RDSO have framed the specifications, which are known as Indian Railway Standards (IRS) specifications.

If our requirements cannot be specified by any of these specifications, we should try to make our own specifications. For some aspects of the materials for which it is difficult to make specifications, samples can be sent along with the requisition to guide the purchases.

Giving clear, unambiguous and detailed description in the requisitions is very important and many times purchase is delayed and complicated because description given by the indenter is not complete. In many cases user may receive the material matching to the description given by

him in the requisition, but he may find the material not to his requirement and this may be due to flaw in the description or specification provided by him. Some times specification itself classify the particular material in various grades and if the grade is not specified in the description, supplier may try to supply the cheapest possible grade which may not serve the purpose of user.

If the item being indented is not as per Standard Specifications (IRS or IS) and the Indenting Officer has made his own specification or drawing, then he should send sufficient copies (about 10-12) of these specifications or drawing so that the same may be sent to all the likely suppliers at the time of issue of tenders.

If a P.L. No. has been allotted to the item, it should invariably be mentioned in the requisition.

(c) Head of allocation to which the expenditure is to be charged, should be clearly indicated.

(d) If the same material was received by the indenter in the past, then he should invariably indicate the last purchase particulars. For non-stock items generally, no history is maintained by Stores Deptt. And therefore, if last purchase particulars are indicated by the indentor it becomes easy to link the last purchase case in purchase office, which may give guidance for finding likely supplier etc. If the purchase is being made for the first time and if indentor knows some of the likely suppliers, he should give list of those suppliers.

(e) For procurement of non-stock requirements, administrative approval of competent authority is required. This approval is based upon the value of purchase, which can be assessed only when rate is known. Therefore, assessment of rate for non-stock items is the basic requirement, which is to be met by the indenter. The estimated rate should, however, be assessed realistically and there should not be any deliberate attempt to assess the rate on lower side to either avoid finance concurrence or administrative approval at a particular level. Following points should be kept in mind:

(i) If the rate is assessed based on the last purchase rate, then due allowance should be provided for inflation. For this enquiry can be made from the market or in absence of any data, inflation at the rate of 6 to 10% per year may be allowed, depending upon the nature of the item and a remark to this effect may be given in the requisition.
(ii) In the rate, various taxes such as Excise duty, Sales Tax, Octroi and extras such as packing and forwarding charges and freight should also be taken into account.
(iii) If the item is being indented for the first time, attempt should be made to enquire the rate from the market.
(iv) In absence of any information, rate can be worked out by doing a cost analysis and details of cost analysis may be enclosed along with the requisition.

(f) Availability of the funds should be clearly certified.

(g) All requisitions where estimated value of purchase is going to be more than Rs. 1 lakh should be vetted by the associated finance of the indenting officer.

(h) The date by which the material is required should be clearly indicated. This date should normally be 6/8 months after date of submission of indent to Stores Department. If the item is required urgently, then full justification should be provided and concerned purchase officer should be addressed demi-officially to arrange the material on out of turn priority.

4.2 Submission of Non-Stock demand requisition as per prevalent instructions.

4.3 The ad-hoc indenting of non-stock items is not an efficient way of procurement and therefore on some of the Railways, Non-Stock items should also arranged in a planned manner. In some cases, heads of the departments are collecting requisitions for all non-stock items on fixed, nominated dates and after clubbing the requirements, combined requisitions are submitted to PCMM office as per a pre-decided time-table. By this method user departments are in a better position to monitor the purchase progress and work load of purchase office is also reduced by clubbing the requirement.

4.4 If it is found that a non-stock item is regularly required, then attempt should be made by the Consuming department to get the item stocked in nearby Stores Depot. Normally if an item can be issued more than 4 times in a year and annual consumption of the item is likely to be more that say, Rs. 50,000/- user department should be asked to submit stocking application on the prescribed proforma through the Stores Depot, where it is desired to stock the item. Approval for stocking the item will be granted by PCMM.

5.0 Requisitioning and Distribution of Stores

5.1 Placement of requisition: All issues from a Stores depot are made on written requisitions on the prescribed form by the indenter. These should be signed by a Gazetted officer except imprest schedules. There are following types of forms in use.

(1) For imprest stores (S -1830 of Stores code)

(2) Combined form of requisition & issue note (S-1313 of Stores code)

(3) Separate requisition form (S - 1302 of Stores code)

a) It is very necessary that an inventor when he wants to indent materials refers to the standard nomenclature list and or list of Stock items to ascertain if any of the stock items can possibly be used to serve his purpose
b) Give correct code no.
c) Give correct description
d) Give correct specification /drg. with latest amendments, if any
e) Give correct quantity in unit of accountal as shown in nomenclature list
f) Give correct Head of Account chargeable and confirm availability of funds and finance concurrence wherever necessary

g) Give correct details of the consignee (who is to physically receive the material) and consignee code number.

5.2 Funds availability: Noted in Liability Register.

5.3 Nominated depots: Booklet on guidelines to indenting departments indicate items nominated to certain depots. The requisitions on receipt in the nominated depot are scrutinized and registered. In case a non-stock item is demanded, the depot after verifying should offer the nearest equivalent item, which is stocked, to the indentor if it suits. If not, the requisition is forwarded to PCMM office for purchase and supply. Recurring demands are noted to make them Stock items. Requisition for stock item is sent to the stocking ward. Requisition cum issue note is prepared in 6 foils by the indentor. Block copy is retained as office copy - rest 5 copies are forwarded to the stores depot.

Issue notes form the basis for all charges. Two copies are sent back to the indentor with material and one copy should be returned by the indenter duly acknowledging receipt of material. The other copy is sent by indentor to his divisional officer to compare with the copy sent by Account office with the summary of debits.

The two copies are sent by depot to the Accounts office for posting of which one is sent to controlling officer of indentor along with debit summary.

One is retained as office copy in the depot.

Separate requisition & issue forms are used for issues to workshops.

5.4 Distribution of Stores to the Indentors: On a zonal railway there are thousands of indentors situated all along the railway line, hundreds of kilometers away from the supply point. It is very essential that materials, required by these indentors, are received by them regularly to avoid any dislocation in their work.

The Railways Stores depots arrange distribution of these materials by one of the following methods: (i) Collection of materials by the representatives of the users. This is generally followed by the workshops where the stores depots are attached to the workshops. (ii) Delivery of stores by road through departmental or contracted private motor lorries for indentors situated nearby. (iii) Dispatch by rail parcels for consignments, which do not form full wagonload. (iv) Dispatch of full wagonloads - This is generally resorted to when the demands are for quantities which will constitute a full wagonload for a consignee. (v) Through a stores line delivery system: Stores line delivery system is an important service run by the stores department so that every station on the entire railway system receives the supply of materials required by them. Materials are loaded station wise in the stores delivery vans and these delivery vans move from station to station as per a scheduled programme. The staff who accompany the delivery vans deliver the materials required at the station as well as collect certain items which are to be returned by the stations to the stores depots. However, now this method of distribution has stopped completely. As such most of the materials are now being distributed by road transport. PCMM has been authorized to operate road contracts for the same.

6.0 Recoupment of Stores:

6.1 Methods of Recoupment: There are three basic methods of Recoupment which are used on the Railway systems:

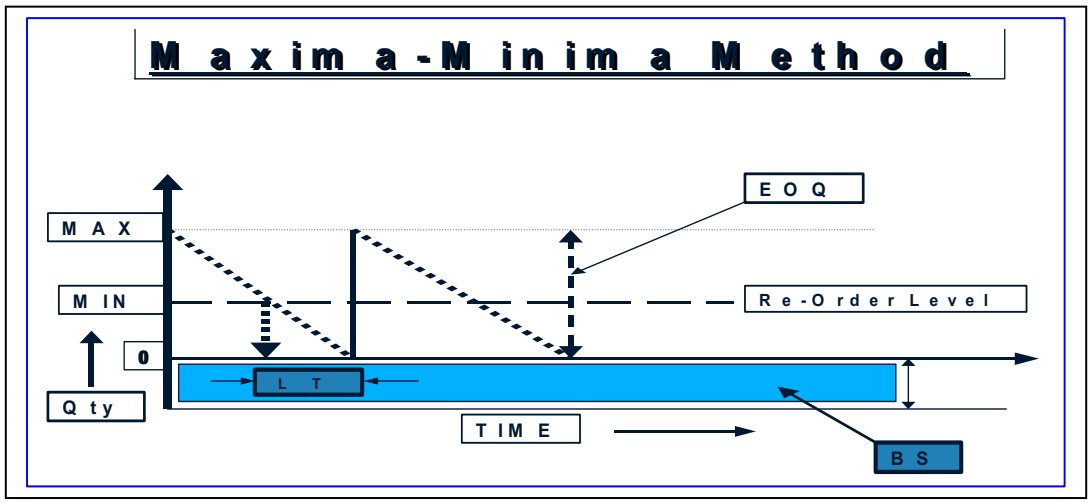
(i) Maxima- Minima System (EOQ / ROL System)
(ii) Annual Estimate System
(iii) Fixing a level for emergency items and recouping the items to this level on every issue.

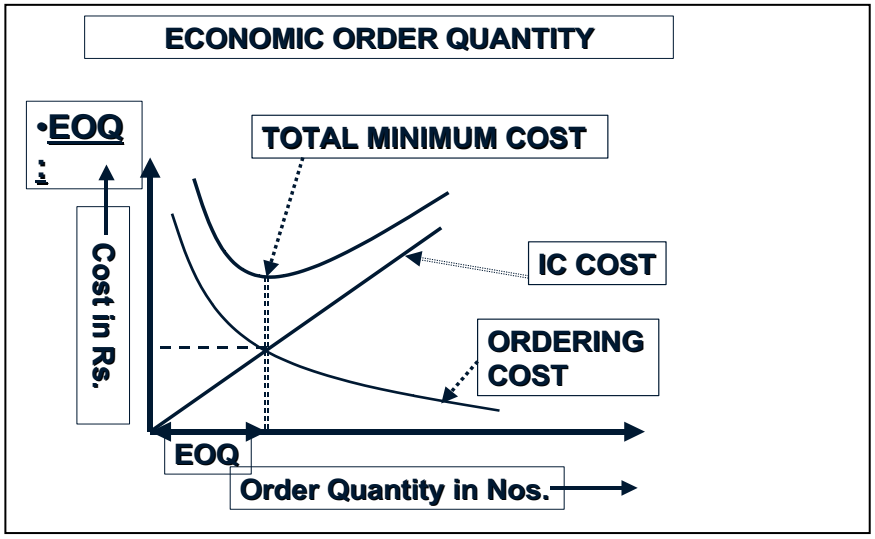
6.2 Maxima-Minima System: In this system, for every item, we fix Maximum & Minimum levels. The terms Maximum and Minimum have special meaning when used in this context. **Maximum** is the quantity, which is most economical to order at a time. If we order large quantities at a time, large amount of money will be blocked and inventory-carrying cost will be higher. As against this, if we order small quantity at a time we will have to order more frequently and ordering costs will go up. Maximum aims at a quantity which tends to minimise the total costs. For high value items this quantity has been fixed as 3 months requirements where as for low value items, it has been fixed as 12 months requirements.

Minimum- Every item needs certain time for procurement. The time required from the point Recoupment is initiated till the point material is inspected and accepted is known as lead-time. It will be easy to appreciate that at the time of Recoupment, the stocks available (physical stock plus quantities on order) should be sufficient to meet the requirement during the lead-time. This quantity of material is known as **"Minimum"**. This is also known as "Re-order level" or " Re-order Point". In other words, Minimum or a Re-order level is fixed considering the lead-time consumption and any safety stocks or buffer stocks we decide to keep.

In the Maxima-Minima system a perpetual record is required to be kept. As soon as the stocks plus dues touch the minimum level, Recoupment is made for the quantity equal to one maximum. In the Railways shop manufactured items and a few typical stock items are recouped on this system. However, majority of items follow annual recoupment system.

Buffer stock is provided to meet unforeseen fluctuations in lead-time as well as fluctuations in consumption patterns.





6.3 Annual Estimate System: In annual estimate system, a fixed timetable is followed for Recoupment of the items as against the maxima-minima system where items are recouped as and when they touch the minimum level. The period for which items are recouped is fixed and is called "Contract Period". This contract period is generally 12 months. The interval between the date fixed for sending the Recoupment to the beginning of the contract period is known as the interim period. For the purpose of convenience, different contract periods are fixed for different groups of items so that some groups are recouped in January, some in February and so on. This system is advantageous in that it is possible to combine the demands of different depots and make one purchase. This reduces not only the ordering cost but gives a better bargaining power. Inventory carrying cost can be kept low if order is placed with required number of phased deliveries.

6.4 Lead-Time: The time taken from the date when the demand is registered to the date when the material is physically available for use is called lead time.

6.5 Buffer Stock: In spite of best calculations there is a variation in lead-time and consumption pattern. To cater to the fluctuations of lead-time and / or consumption pattern buffer stocks are required.

6.6 Recoupment of Emergency Stores: The special characteristic of emergency stores is that the demand is not regular. An upper limit or emergency limit is fixed based on experience. This limit can also be rationally fixed with the use of statistical methods. Every time there is an issue, the item is recouped to bring the stock to this pre-determined level.

6.7 Recoupment of manufactured items: While a very large number of items are purchased by the Railways, a substantial number of items particularly spare parts required for the rolling stock are manufactured in the Railway workshops by the Railways themselves. The manufactured items are recouped on a maximum - minimum system. The levels maxima and minima are fixed in consultation with the Production Engineers who will be manufacturing and supplying the items. The work orders for manufacture and supply of items are prepared by the

stores depots, when the minimum level is reached. It is the responsibility of the stores depots to make the raw materials available for such manufacture.

7.0 Purchasing

The purchasing function is generally centralized in the headquarters office of the Principal Chief Materials Manager. The recoupment or estimate sheets for stock items routed through the stores depots are received in the purchase office of the Principal Chief Materials Manager for arranging procurement of all these items. The PCMM has full authority to scrutinize every demand, to question regarding quality of items and modify the quantities.

For small value purchases, however, the depot officers as well as Divisional Materials Managers have been delegated powers to do local purchase.

7.1 Agency for Purchase: Purchase of materials for Railway are arranged either as

1. Direct purchase by the Railway Administration.
2. Purchase by the Railway Board, DLW, CLW, ICF, COFMOW, CORE etc.
3. Procurement through Government e market Place (GeM) of common use items

7.2 Direct Purchase by the Railway: Items, which are not arranged by the Railway Board, and items which are not required to be purchased through GeM, are procured by the Railway direct through the Principal Chief Materials Manager (PCMM). The PCMM arranges purchase through –

1. Global tenders involving worldwide sources and generally require foreign exchange.

2. Advertised Tender or Open Tender (general ly for items valuing over Rs 25 lakhs). For finalization for cases over Rs. 25 lakhs, Tender Committees (consisting of a stores officer, a user deptt. Officer and accounts officer at appropriate level as per Schedule of Powers, now will be termed as TC) are constituted. The TC recommendations are put up to the competent authority depending upon the value of the case and SOP.

3. Limited Tender/ Bulletin tender to approved / registered suppliers for demands of value less than Rs 25 lakhs.

4. Special limited tenders are issued if the value of the purchase is more than Rs 25 lakhs and it is desirable to go for limited tender instead of Advertised Tender due to vital or safety nature of item and urgency subject to competent authority's sanction.

5. Single tender if there is only one source of supply (PAC - Proprietary Article Certificate) or if the item is of very small value - from Cash imprest, by Cash purchase or if emergency has arisen.

Finalization of tenders leads to Supply Contracts with the Suppliers. Various types of **Supply Contracts** are - (1) Rate contracts (2) Running Contracts (3) Fixed Quantity Contracts.

Rate contracts: These are generalized contracts entered into with supplier for specific items and identifying all terms & conditions including the price, but quantity and consignees are not mentioned /specified.

The contracts authorize specific orders being placed by nominated officers of Stores department for specific quantities and consignees, on the available terms, conditions and price without the need to go through the full procurement procedure. Thus, the rate contracts save lot of time in routine purchase work.

Running Contracts: These are similar to rate contracts, but in this case the quantities are mentioned with variation (normally $\pm$ 30%).

Fixed quantity contracts: In these contracts all terms and conditions, price and the quantity are identified at the first stage itself. Hence, they are specific even at the first stage. These contracts lack the flexibility of Rate & Running contracts. Most of the contracts finalized by the Railways fall into this category.

7.3 Purchase by the Railway Board: The Railway Board mainly arranges the procurement of Rolling Stock complete units and fuel. In addition, Rails, Fish plates, cast iron sleepers, wheels, tyres, axles, imported steel, certain nominated critical items like Composite brake Blocks, lubricants and greases are purchased by the Board.

7.4 Purchases through GeM: GeM has now been started by Government of India in place of DGS&D. GeM has been designed like Flipkart and Amazon for government agencies to buy material on line. Any general use item which is available in GeM has to be procured through GeM. In this relevant instruction issued has to be followed.

7.5 The requirements are consolidated in the PCMM's office and the following types of indents are placed on **centralized purchase agencies** such as Railway Board, DLW etc. duly certifying the funds.

1. Programme indents
2. Ad-hoc indents for which it is not possible to foresee the requirement by the departments - such as requirements for works, plant and machinery etc.
3. Express indents - for very urgent requirements, duly certified by the consuming department for urgency. is likely to resort to emergency procurement action against ad-hoc indents/ express indents, and may conclude contracts at rates higher than market rate. It is to be appreciated by all that these indents will generally result in extra expenditure to the Railways.

8.0 Tender Evaluation and Miscellaneous Policy Issues in Purchases

8.1 Consideration of Tenders: Some of the important points to be kept in mind while tenders are under finalization are discussed below:

(a) Attempt should always be made to finalize the tenders within the validity of the offers. All tenders prescribe a definite date (known as validity date of offer) by which if decision is not taken by us, validity of the offer will lapse. As per law of contract, the acceptance of the offer should be out from our office by validity date though it is not necessary that the acceptance of offer should physically reach the supplier before that date.

(b) We should not seek clarifications from firms in piecemeal and whatever clarifications are required should be sought in the first instance itself. Terms and conditions of the contract to be finalized should be clear and definite and nothing should be left vague. All attempts should be made that the contract is placed as per Indian Railway Standard Conditions of Contract, but if the firm does not agree to accept some of the clauses of IRS conditions, repercussion of this should be examined and should be accepted with the approval of competent authority only in the unavoidable cases. In some of the cases, we may have to obtain concurrence from Associated Finance or Law Officer.

(c) Tender cases should be kept under safe custody and when the tenders are under finalization, no unauthorized persons should be allowed to make queries or call for the tender papers.

8.2 Guidelines for Tender Committees:

8.2.1 Some of the points which should be kept in mind by tender committee members are enumerated below: -

(a) The tender committee should be duly constituted- The level of tender committee which will discuss the tenders of a particular value are given in the Schedule of Powers. Although the authority to constitute a tender committee vests in the officer competent to accept the tender, members from consuming department and Accounts Department should ensure that they have been adequately authorized by their heads of department for sitting in the tender committees.

(b) Tender Committee- The criteria for constitution of tender committees is the value of lowest tender. However, if lower offers within their powers are not considered suitable by lower level committee, they may recommend so and on acceptance of these recommendations, the case will pass on to next higher level tender committee. The TC is necessary even in case of ST/PAC or discharging of tender.

(c) An officer who is member in a tender committee can not act as accepting authority also for the same case even though acceptance may be within his competence.

(d) If all the tender committee members do not agree on all the recommendations, then disagreeing member gives the dissenting note. In such cases, although accepting authority is competent to take a decision, there is a practice on some of the Railways that accepting authority

has to put up the case to his next higher authority with his recommendation and final orders are given by the next higher authority only. Similarly, there is also a practice on some of the Railways that if the accepting authority disagrees with the recommendations of the tender committee, he has to put up the case to next higher authority with his views.

8.3 Proceedings of Tender Committee -

8.3.1 After discussing the offers, proceedings of tender committee are prepared. These should be signed by all the 3 members on all the pages. Any corrections/overwriting should be initialed by all the 3 officers. Tender committee proceedings should not be change d and if changes are considered necessary, supplementary proceedings should be prepared and signed by all the members.

8.3.2 Some of the points, which should be included in the tender committee proceedings, are listed below:

(a) Demand Ref. No. & Date
(b) Description with specifications & Quantities demanded
(c) Authority for issue of the Tender and No. of tenders issued
(d) Tender opening date & no. of offers received.
(e) Details of any fresh review of quantity and reasonableness of quantity
(f) Last Purchase Rate and Details of Last Purchase Order
(g) Any special development since last order
(h) Discussion of offers under zone of consideration
(i) Detail of technical comments
(j) Reasonableness of rates
(k) Specific recommendations with justification where recommended for splitting at different rates
(l) Performance of the firm being recommended
(m) Summary
(n) Terms & Conditions recommended- It is important to clearly specify the terms and conditions on which offer is being recommended.

8.3.3 The accepting authority should record his acceptance on the body of the tender committee recommendations and not on the noting side of the file.

8.4 Other Policy issues in purchases-

8.4.1 Splitting of the order quantity on two or more suppliers:

This is permitted in the following situations:

(a) Past Performance.
(b) Capacity.
(c) Delivery requirements in the tender.
(d) Quantity under procurement.
(e) Vital/ Critical nature of items.

Note: On this subject, Rly Bd's latest instructions vide letters no. 99/RS(G)/779/2 dtd 15.10.07 & 15.02.08 may be referred.

8.4.2 Offers received from unregistered/untried firms - Against open tenders, many times we receive offers from new firms, performance of which have not been tried on the Railway. We are otherwise satisfied about credentials of the new supplier and their offer is otherwise suitable, we may consider their offer for part quantity. We may also place order normally for a quantity up to 20% after collecting necessary security deposit. However, in case of certain exceptionally sound firms, we can even consider for more quantity.

8.4.3 Unsolicited offers- The offers received against limited tenders from the firms to whom tender enquiry was not sent, are known as unsolicited offers. Even if a registered firm submits tender against weekly stores bulletin, for an item for which they are not registered, such tender will also be classified as unsolicited.

Unsolicited offers should normally be ignored. But in certain exceptional cases, as mentioned below, these may be accepted:

(a) There is inadequate competition
(b) Quotations received from registered suppliers or from firms to whom enquiries were sent are not suitable.

But we should consider them only when demand is urgent and capacity/capability of the firm offering to supply the relevant item is known.

The sanction of acceptance of the unsolicited offer is to be obtained from next higher authority, which in no case should be below the rank of Dy.CMM.

8.4.4 Variation Clauses- We generally prefer a firm price contract but for high value contracts we may accept price variation clauses. In such cases, base price at which present price is worked out should be clarified, formula to govern variation in prices should be realistic and clear and the authority of the prices on which price variation will be based should also be very clear.

In case of variable price contracts, prices should vary on both sides i.e. in case of reduction of prices in the market we should pay at the reduced rates worked out as per formula.

8.4.5 Local Purchase- Some of the important points to be kept in mind by all the officers making local purchase are as under-

(a) There should be a proper system, of entering all the local purchase cases in a register. This register should indicate details of item to be purchased and rate and firm etc. from which purchase has been made.
(b) The purchases should be made at competitive rates after trying no. of firms/shops.

(c) Purchases should be made from standard firm i.e. the firm should be either a reputed dealer/authorized stockist/manufacturer or a good shopkeeper. Purchases from persons who do not own any shop etc. and operate business from their residence and act only as middlemen, should be avoided.

(d) The quotations should be collected only from existing firms. If a firm is doing business in different names from the same premises, only one quotation should be taken from such firms. The practice of collecting more than one quotation from a single shop should not be resorted to.

(e) For collecting quotations per bearer form the local market, officer in-charge of local purchase shall nominate the Railway employee by name. The nominated employee shall be required to sign each cover of the quotations and subsequently on opening by the officer in charge, each quotation also in token of his having collected personally.

(f) The names of firms from whom quotations are to be obtained are to be suggested by the officer-in-charge of local purchase. The employee, however, may suggest names of new firms coming to his notice, to the purchase officer who could consider including them for subsequent purchases.

(g) If the local purchases are regularly made, a panel of firms should be maintained which should be updated from time to time.

(h) A tender box should also be kept for dropping the tender.

(i) All enquiries should mention time and date by which offers should be received. Any offer received after this should not be considered.

(j) Local purchase of items for which valid rate/running contracts exists, should not be made.

8.5 Placement of Purchase Order: When the tenders have been decided, purchase officer records acceptance on the tender accepted by him and then the purchase case is passed on to the respective purchase section for preparation of purchase order. After the purchase order has been signed by the purchase officer, it is sent to accounts department for pre-check if value is more than a certain limit. All purchase orders issued against demands submitted by Stores Depots for stock items, availability of funds out of purchase grant is to be ascertained from Accounts Department. For this purpose, Accounts Department is maintaining an up to date liability register. At the time of issue of purchase order, value of purchase order is posted in liability register and a funds certificate is recorded on the purchase order. Finally, the purchase order is numbered. Purchase order Number consists of 16 digits out of which first 8 digits are same as Demand no or Tender No., 9th digit indicated mode of purchase, 10th to 14th digits are serial number which are allotted paying authority wise, 15th & 16th digit indicates serial number of the item, consignee, delivery date if there are more than one item, consignee, delivery dates respectively in the purchase order. Purchase orders above a certain value limit are pre-checked by finance to avoid any mistakes. After numbering, the purchase order is dispatched to suppliers by registered post A.D.

8.6 Contract Administration: The purchase activity is not over only on placement of purchase order. For getting the material in time, contract has to be properly administered. Immediately on placement of orders or after some time, we may get request from supplier for amending some of the clauses of the purchase order. All these requests have to be examined in proper perspective and amendments (or modification advices) against the purchase orders are

issued. For all the amendments, which may result into financial repercussions, we may have to take finance concurrence. If the supplier is not able to supply the materials within the stipulated delivery period, then as per law of contract, contract expires. Further extension has to be with mutual consent. Normally suppliers request for extension of delivery date and this is examined keeping all relevant factors in mind. As per IRS conditions of contract, we have the right to recover liquidated damages for any loss or inconvenience suffered by us due to delays in supply of material. Sometimes, firms fail to supply the materials. As per IRS conditions of contract, if the firm fails to supply the material, we can purchase the material from the alternative sources at the risk and cost of the supplier i.e. if we pay any higher prices to the alternative source, the difference can be recovered from the defaulter. These purchases from alternative sources are known as risk purchases. In order to ensure that risk purchase is legally tenable, we have to follow certain procedures by which reasonable opportunity to make good the loss is given to the supplier and the risk purchase has to be arranged within a reasonable time (which is normally 6 months for readily available items and 9 months for specific manufacturing items) from the date of breach of contract. Sometimes disputes may arise in the execution of the contracts. If the dispute cannot be mutually settled, then as per IRS conditions of contact, it is to be referred to a sole arbitrator appointed by the General Manager and decision of the arbitrator will be final in such a case.

8.7 Supply of materials: Materials against purchase orders placed by Principal Chief Materials Manager are supplied to the consignee mentioned in the purchase order.

8.8 Imported Stores and Indigenous Stores : In 1950-51, 23% was the proportion of imported stores out of all type of procurements and now it is only of the order of 3% by progressive indigenisation.

9.0 Receipt & Inspection of Stores : The stores ordered by the Railways or by the Central purchase organisations are delivered either to a Stores Depot for the purpose of inspection and stocking in that depot or for onward dispatch to the user or are directly delivered to the user himself. In some of the purchase contracts the materials are inspected by the nominated inspecting authorities before dispatch. In these cases generally payments of 90% to 98% are released on proof of inspection certificate and dispatch. The balance payment is only released on final inspection by the consignee to whom the material is delivered by the supplier. In cases where such a clause for advance payment is not provided 100% payment is made only after the material is received, inspected and accepted, by the consignee and the bill is certified or receipt note is granted. It is important that whether any inspection has been earlier carried out or not the consignee must inspect within reasonable time the materials properly and certify the bills or inspection notes. For inspection, the agency of test houses or Chemist & Metallurgist etc. may be employed. Pre-inspection of materials is done by RITES/ RDSO/ DOI/any other nominated agency. If after inspection the items are found to be not acceptable, a rejection memo is issued indicating the reasons of rejection. If the stores are pre-inspected by an inspecting agency, then the consignee should arrange for the joint inspection and the finding of joint inspection will be final. The rejected material is returned to the supplier if no advance payment is made and after checking whether any ground rent is due etc. He is asked to tender fresh supplies to fulfill the contract.

10.0 Returned Stores

10.1 All the materials no more required by the consuming departments should be returned to the nominated stores depots for taking disposal action. Such materials are returned along with an advice note for returned stores (form S.1539) prepared in 6 copies. The 6 copies are distributed in such a way that debits and credits can be raised by the Accounts department for the transaction satisfactorily.

10.2 (a) As mentioned above the Advice Note for Returned Stores is to be prepared in six copies. The returning subordinate will retain one copy (1st copy) with him for his record. Out of remaining 5, he will send 3 copies (2nd, 3rd, & 4th) to the nominated Stores Depot either along with the material or along with. R.R./P.W. Bill, if the material has been dispatched by Rail. At the same time he will send one copy (5th) to the Stores Accounts office of the depot and last copy (6th) to his controlling officer. The purpose of these 5th & 6th copies is to give advance information to Stores Accounts Officer and his controlling officer so that they can monitor for getting timely and proper credits for their returned materials. This procedure is explained in subparagraph (b) below.

(b) The controlling officers are required to maintain a Departmental Register of Advice Notes (S-1605) for keeping watch on the accountal of returned stores. As soon as 6th copy of the Advice Note is received from the subordinate, it is entered in this Register (For convenience separate pages in the register may be allotted for each subordinate).

At this stage, Advice Note is also scrutinized to see that it has been correctly prepared. If some information is found incomplete, further details are added in the Advice Note and then this is forwarded to the Stores Depot for getting credit particulars. Similarly, Stores Account Office is also required to maintain an Accounts Register of Advice Notes (S-1622) to see that all the materials returned by various field subordinates are taken into books promptly and properly.

10.3 Valuation of Returned Store

a) Valuation of Non-Stock Items- The rate at which credit for returned stores is to be given depends upon whether the materials is a Stock item or a Non-Stock item and also on their condition. For Non-Stock items it is not certain whether they will be required for Railway use or not. Also, no separate book rate is maintained for them. Therefore credit for all Non Stock items, whether new, second hand or serviceable, is granted at approximate scrap rate.

b) Credits for stock items are granted depending upon their stock position in the Depot and their condition. If the item is not overstock, then credit for a new Stock item is granted at full Book Average Rate and at half of this for second hand serviceable materials. However, if the depot stock of an item has already been declared as Dead surplus, then credit at scrap rate is given even for new or serviceable Stock item.

c) Credit for second hand Rails released from line, which could be supplied to new projects or to other administrations, is given at 65% of the market price of new Rail (Para S1612).

d) In the case of serviceable plant and machinery, there valuation should be decided according to the following formula:

R - (N/L) X (R-S) Where,

R= The present-day price of the new M&P article

N= Age of the article.

L= The estimated life of the article

S= Scrap value of the article

10.4 Surplus Stores: When it is observed that items of Ordinary Stores have not been issued for a period of 24 months, they are then categorized as Surplus Stores. If it is anticipated that such items are likely to be used in the neat future say next 24 months, it is called movable surplus. If it is established that these items will not be used on any Railway for another 24 months, it is then categorized as dead surplus.

11.0 Scrap Disposal:

11.1 Scrap: - The word scrap has a special meaning in the railway working. Apart from the wastages and damaged parts and materials arising out of operation, production and maintenance in the Railway system, scrap also includes all items which are no longer useful for the purpose for which they were originally procured. All such scrap is required to be expeditiously collected in the scrap yards and disposed off.

11.2 The scrap accumulated in scrap depots are disposed off periodically by the Stores department by adopting any one of the following methods:

(a) Public auction through IREPS
(b) Tender Sales (some times auction cum tender method is also adopted for better results) through IREPS
(c) Direct Sales
(d) Sales to Employees.

For declaring scrap fit for public auction latest instructions should be seen

11.3 Sources of Scrap:

(a) Railway Workshops
(b) Condemned Rolling stock such as wagons, coaches, locomotives, boilers, etc.
(c) Scrap permanent way materials such as released condemned rails, sleepers, fittings etc.

(d) Inactive/surplus items being declared as scrap.

11.4 Location and Layout of scrap yard- The location of scrap yards is determined largely on consideration of freight charges, space availability and proximity to the market for disposal. Arrangements should be made to see that double handling is avoided, as far as possible.

11.5 Formation of Lots: Scrap of a particular description (PL No. as classified in the Scrap schedule) received from different sources (in case of mixed scrap, after sorting) are placed in a particular lot. The idea of lot formation is to accumulate economic quantity of a particular item of scrap to be attractive to participants in auction. Therefore a lot should not be too small. This should also not be too large as this will restrict auction virtually to a few rich parties only, on account of high value and will promote "Cartel" or "Ring formation".

11.6 Lot Register: Once the lots have been formed for the purpose of auction sale the details be entered into Lot Register which should have columns for lot No., Description, Book Rate, Approx Quantity for sale, Rate secured at previous auctions, Name of the Purchaser, Rate at which auctioned, total value of stores and remarks.

11.7 Survey of Scrap and other Materials: Survey committee is the Committee of the Senior scale or JA Grade officers of the Engineering Departments with Stores Depot Officer as convener member and major work shop officer as Secretary. This committee is a standing committee appointed by General Manager for the purpose of inspecting critically the condition of all Stores:

(a) that have deteriorated in value, for any reason,
(b) broken or damaged in transit, or while in stock,
(c) lying in the custody of the Stores Department for a long time and considered by Principal Chief Materials Manager as having become unserviceable owing to obsolescence or other causes and received as scrap from the line.

Preparation of survey sheets: Railway Board letter No. 2015/RS(S)/709/5 dated 29.01.2016 has to be followed at present. As per this letter there is no need for survey committee for depot scrap. Any latest instruction in this matter is also to be implemented.

11.8 Sale of Scrap Materials:

(a) Sale through Public Auction- By conduction public auction though IREPS at regular intervals and putting the materials in those auctions.
(b) Sale through Tenders- By inviting tenders for the materials to be sold either through advertised tenders or giving tender enquiries through IREPS to likely purchasers.
(c) Direct Sale- Some materials may be sold directly at pre-determined rates to Railway employees and other government organisations. The rates are generally based on last auction rates.

11.9 Auction Sales: Auction is to be conducted through IREPS.

On the nominated date and time auction is started. In order to restrict entries of undesirable elements, a system of entry fee has been introduced. The entry fee is Rs 10,000.

The auction is to be conducted by a Depot Officer who is not below the rank of J A Grade.

11.10 Reserve Price: The decision to sell a particular lot during the auction is taken by the Depot Officer. For taking this decision, he fixes a Reserve Price of each lot in advance. This reserve price is fixed keeping in mind last sale rates, market trend and also condition of the lot. Generally reserve price is fixed by the Auction Supervising Officer.

11.11 Bid Sheet: At the time of auction when the lot has been sold, a Bid Sheet is prepared which contains details of lot No. Brief description of the lot, Quantity sold, the rate at which sold, name of the firm, the earnest money realized and the total value payable and special conditions, if any. Bid sheet is signed by the Auction Conducting Officer, Accounts Representative, Custodian DMS of scrap yard and the purchaser.

11.12 Issue of Delivery Order: When the balance sale value has been paid by the purchased in full and he has fulfilled all the other conditions of sale, a Delivery order is issued to him by the Depot Officer in case of departmental auction or by the Auctioneer if the auction is conducted through auctioneer. Delivery order is an authority for the purchaser to take delivery from the Scrap Yard. It specifies the date by which the delivery is to be taken. In case facility of installment has been allowed to the purchaser, delivery orders are also issued in installments for the proportionate quantity for which payment has been received. In such cases, we have to ensure that earnest money deposited is adjusted only at the end.

12.0 Inventory Control

12.1 Improving Service level and Inventory Control: One of the important objectives of Stores Department is to ensure continuous availability of stores to user departments while keeping the stocks at optimum levels. Efficiency with regard to optimum stock levels is measured by working out Inventory turnover ratio on every 31st march, which is worked out as under:

$$\frac{\text{(Total inventory balances in Rupees on 31}^{st}\text{ March)}}{\text{Total value of stores issued during the year}} \times 100$$

The target for inventory turn over ratio is generally kept around 15%. The efficiency with regards to service is worked out by compiling compliance percentage of materials against all requisitions received in Stores Department. The target for compliance is kept between 95% to 98%. For vital and safety items, the compliance is aimed at 100%.

In order to keep inventory, turn over ratio and compliance figure at optimum level, selective inventory management method is used on Indian Railways and we classify the items in ABC and VED categories. These are explained below. We also use standardization, variety reduction and extensive computerization to improve inventory performance.

12.2 A-B-C Analysis: This analysis is based upon Pareto Principle according to which in many situations, majority of the activity (say 80%) is governed by very few (say to 20%) attributes. Hence if in Stores, all the Stock items are analyzed in terms of their annual consumption - usage value, major part of total consumption value say 70% is represented by 10% of total items, 20% of total annual usage value is controlled by 20 % of total items, and remaining 10 % of total consumption value is represented by a large no. of small consumption value items say 70%. In Railways all high consumption value items which represent 70% of total annual usage value, will be classified as "A" category, items which represent further 20% of total usage value will be classified as "B" category and all remaining items will be "C" category. This analysis is done on the computer as explained below:

(a) First of all, annual issue values of all the items which were issued from all the depots are added together to find total issues (in rupees) of the Railway

(b) Then all the items are sorted in descending sequence of their issue value on the entire Railway (i.e. after adding issues of all individual depots);

(c) Then we go on counting the items adding issue value of the items to a " cumulative issue value" counter. When the value in this counter represents 70% of total issue value worked out in step (a) after reading a particular item, all the items from top to this item are classified as "A" category items;

(d) The reading of items as further is continued when after reading a particular item and adding its issue value to "cumulative issue value" counter, value in the counter is equal to 90% of total issues, we mark all items from item next excluding A category items to the last item as "B" category items.

(e) All remaining items are classified as "C" category items.

For the purpose of Inventory control, "A" category items are most important. Therefore, they are closely monitored at highest level at very frequent intervals. In Railways, their stock levels, consumption forecast etc., are monitored at the level of PCMM /CMM every month. "B" category items are monitored at the level of CMM/ Dy.CMM every quarter or every six months. Stock verification of "A" category items is carried out every six months; for "B" category items every year and once in two years for "C" category items. To achieve better inventory turn over ratio, we intend to keep average stocks of 3 months, 6 months and 12 months of "A" , "B" and "C" category items respectively.

12.3 V-E-D Classification: A-B-C Classification is on the basis of consumption value of an item and does not give any importance to the criticality of the item and therefore, only A-B-C Classification is not adequate. Classification done on the basis of criticality of the item is known as V-E-D, where the items are classified as Vital, Essential and Desirable. Vital items are those items, which are very critical for the operations and do not permit any corrective time i.e. they cannot be procured off the shelf if they are not available. Essential items are comparatively less vital and work without them cannot be managed for few days. All remaining items are known as Desirable items.

12.4 A-B-C / V-E-D: The matrix tackling the items on the basis of their consumption value and also criticality improves the service to the customer as well as we are able to control the inventory. We can design the stock levels in such a manner that is maximum desirable. For remaining items, service levels can be in between these two levels and average stock holdings can be designed accordingly.

TYPE OF ITEM	A	B	C
V	Critical Scrutiny of Requirements for economy		Liberal & Better Compliance for Reducing Out of Stock Costs
E			
D	Procurement not to be encouraged		Routine scrutiny

Standard Tools for Inventory control:

By selective Management (ABC/VED/XYZ /SOS/FSN/etc).
Management by exceptions (out of stock, inactive, surplus, overstock, etc.)
Designing of appropriate recoupment policies
Rationalization /standardization
Value analysis
Codification & computerization
Concept of classifying materials on market availability (R,N,D) for buffer stocks

STORES QUESTION BANK

Part I- Descriptive Type Questions

Q.1 What is ABC analysis?

Q.2 What is Turn over Ratio? Calculate turn over ratio for year 2011-12.
Stock value as on 30.09.2011- Rs. 10 Cr
Current total issues up to 30.09.2011- Rs. 100 Cr

Q.3 Describe briefly different types of tenders?

Q.4. What is the difference between Advertised Tender and Special Limited Tender?

Q.5. What is VED Analysis?

Q.6. Name different methods of Recoupment of stock items.

Q.7. Name various methods of Scrap disposal.

Q.8. What is Economic Order Quantity (EOQ)?

Q.9 Give the definition of Stock & Non-stock items?

Q.10. Prepare Organization Chart of Stores Organization at Railway Board level.

Q.11. Prepare Organization Chart of Stores Organization at Zonal Hq. Level.

Part II- Objective Type Questions:

1. For best Inventory performance results we must combine ABC analysis & VED analysis. Our first focus should be on
A. Vital & A items B. Vital & C items
C. Desirable & A items D. Desirable & C items

2. The value of Stores Purchases on Indian Railways in the year 2008-2009 were of the order of
A. Rs. 1,000 Crores B. Rs. 2,500 Crores
C. Rs. 27,500 Crores D. Rs. 18,000 Crores

3. Disposal of scrap may be done by
A. Auction B. Sale by tender
C. Sale to other Govt. department and undertaking D. All above.

4. In order to avoid any contingency, stock at reorder level has to be …
A. More than lead time requirement. B. Less than lead time requirement.
C. Equal to lead time requirement. D. Does not have any relation

5. Stores Directorate in Rly Board is under
A. Member (Mech) B. Member (Elect)
C. DG/RS D. Financial Commissioner

6. Economic order quantity (EOQ) is determined by optimising between
A. Demand and Supply B. Ordering cost and Carrying cost
C. Budgets and Service level D. User and Accounts department

7. Forecasting accuracy increases if the planning period is
A. Shorter B. Longer
C. Zero D. Infinity

8. Ambiguity in Description and specification of material will have the following effect on Lead Time
A. It will decrease B. It will increase
C. It will remain same D. None of the above

9. Why is the ABC analysis important
A. for improving service level B. for improving financial performance
C. to improve the profits D. none of the above.

10. For the stores declared surplus by a depot, any returned stores are
A. not to be accepted.
B. to be sent to any other depot where they are required.
C. are to be accepted but credit is given only for scrap value.
D. a high-level committee is to be set up for taking a decision.

11. In Indian Railways open tender is adopted when purchase value is more than Rs.
A. 3 lakhs B. 5 lakhs
C. 15 lakhs D. 10 lakhs

12. Indian Railway Stores Code is in how many volumes?
A. 2 B. 3
C. 4 D. 5

13. The pre-check of the purchase order by accounts department is necessary if the value is more than
A. Rs. 2.00,000/- B. Rs. 5,00,000/-
C. Rs. 8,00,000/- D. Rs. 100,000/-

14. Special limited tender is one where
A. Number of firms is just one

B. Purchase value is Rs. 25 lakhs but Limited tender is issued
C. Purchase must be restricted from few firms
D. Tender is issued by Registered post

15. Which system of codification is followed by Indian Railways for codifying stores items?
A. Fully significant coding system
B. Semi significant coding system
C. Non-significant coding system
D. Color codification system

16. In Indian Railways the case is to be dealt by a tender committee, when it is a case of
A. Open tender
B. Limited tender
C. Bulletin tender
D. High value tender over Rs. 25 lakhs

17. When the firms are selected and tender enquires are sent to them, it is a case of
A. Open tender
B. Limited tender
C. Bulletin tender
D. Global tender

18. In Indian Railways the case is to be dealt by a tender committee when the purchase value is more than Rs.
A. 3 lakhs
B. 25 lakhs
C. 10 lakhs
D. 15 lakhs

19. In Indian Railways, 'A' category items represent what percentage of total consumption value?
A. 50 %
B. 90%
C. 65%
D. 70%

20. Survey committee is appointed by the General Manager as a standing committee consisting of
A. Stores officer, Account officer, Electrical officer
B. Stores officer, Account officer, Mechanical officer
C. Stores officer, Account officer, S&T officer
D. None of the above

21. PL No. of an item is 11360010. This item may be an item of
A. Stationery
B. Steam Locomotive
C. Electrical item
D. Diesel Locomotive

22. EOQ is the Quantity at which –
A. Inventory carrying cost is maximum
B. Warehousing cost is minimum
C. Inventory carrying cost + ordering cost is maximum
D. Inventory carrying cost + ordering cost is minimum

23. In a Rate Contract –
A. Qty. is not specified
B. Delivery period is not specified
C. Rough estimate of Qty. is given
D. Qty. to be supplied is fixed

24. Check digit for a PL No. appearing at Serial No. 181 in sub group 02 and in Main Group 00 will be –
A. 8 B. 5 C. 3 D. 7

25. System of Recoupment to be followed for recouping Emergency stores is –
A. Maxima- Minima B. Periodic review
C. Base stock D. Combination of (A) & (B)

26. Tenders are to be invited for purchasing 20000 nos. of Chokes approx. rate of which is Rs. 60/- each. In this case we will normally invite -
A. Open tender B. Limited tender
C. Single tender D. No tender

27 In a PL No. the subgroup to which the item belongs to is represented by –
A. First two digits B. 3rd and 4th digits
C. 5th and 6th digits D. 2nd and 3rd digits

28 Total No. of stores depots on Indian Railway are approx. -
A. 120 B. 20 C. 230 D. 320

29. At the time of review, it is revealed that an item is not issued to any user for past 26 months but the item is likely be issued in next 22 months. This item will be classified as –
A. Dead Surplus C. Custody stores
B. Movable surplus D. Imprest stores

30. In ABC analysis of items, "A" category items represent
A. Low consumption value items B. Important items
C. High Annual consumption value items D. High rate items

31. Buffer stock limit depends on –
A. ABC classification of the item B. VED classification of the item
C. Combination of (A) & (B) D. Stock and non-stock classification of the items

32. Buffer stock is provided –
A. To meet unforeseen requirements B. To supply items to other users
C. To make good shortfall due to theft, deterioration D. To have items out of stock

33. Stock of an item with a loco foreman on 1-1-12 is 500 nos. Sanctioned imprest of this item is 1500 nos. Quantity of the item to be recouped by him will be equal to
A. 500 nos. B. 1500 nos
C. 1000 nos D. 2000 nos

34. In a VED analysis "V" stands for –
A. Vague items B. Very costly items
C. Vital item D. Variety of items

35. Indication of value in the demand is necessary
A. for posting in liability register / fund register
B. for knowing the appropriate approving authority
C. for the payment to the supplier
D. combination of (A) & (B)

36. Item not required for the purpose for which it was originally purchased is known as –
A. Inactive item B. Scrap item
C. Over stock item D. Emergent stock item

37. For an item having annual consumption equal to 600 nos. maxima and minima are respectively equal to 12 and 8 months consumption. Physical stock of this item on different dates was as under:
1.1.11 ------- 500; 1.2.11 -------450 ; 1.3.11 -------- 400 ; 1.4.11 ------- 300 ;
This item should have been recouped on
A. 1.1.11 B. 1.2.11 C. 1.3.11 D. 1.4.11

38. Inactive items are those stock items, stock of which
A. is unserviceable
B. more than 3 months old
C. has not been issued to any user for past 12 months
D. is more than the requirement of next 24 months

39. Principal Head of Stores Department on a Zonal Railway is –
A. Chief Materials manager
B. Controller of Stores
C. Principal Chief Materials Manager
D. Chief Controller of Stores and Purchases

40. Representatives of the tenderers are allowed to be present at the time of opening of -----
A. Single tender; C. Open tender only;
B. Bulletin; D. Open or Special limited tender

41. An item having regular turnover caused by constant demand will be known as –
A. Ordinary Stock Item B. Emergency stock item
C. Regular item D. Non- stock item

42. Processing of a tender case after opening of tenders depends on –
A. Estimated value of purchase B. Value of the case as per highest offer
C. Value of the case as per lowest offer D. None of the above

43. Value of an offer @ Rs. 100/- each plus GST @ 18% & freight @ 1% in a purchase case for 2000 nos. Rubber hose- pipe will be
A. Rs. 2,52,000/- C. Rs. 2,38,000/-
B. Rs. 2,50,000/- D. None of the above

44. An offer received from the firm to whom no inquiry was sent is known as –
A. Single offer; C. Delayed offer;
B. Unsolicited offer; D. Un approved offer

45. Only one offer received in respect to Limited/ Open tender is known as –
A. Single tender; C. PAC offer;
B. Single offer; D. Late offer

46. Proprietary Article Certificate is to be issued for an item required to be purchased from -
A. Single firm only C. RDSO approved firms only
B. Approved firms only D. None of the above

47. Items not required by the user can be returned on
A. Advice note for returned stores C. Requisition
B. Minus issue note D. Indent

48. Ordinary scrap items are those items which are
A. Of no use in the railway C. To be sold to the staff
B. Retained for railway's use D. To be sold by public auction

49. Purchase finalized on the criteria of "Early delivery" is known as -
A. Special purchase; C. Delayed purchase
B. Time Preference purchase; D. PAC purchase

50. For purchasing a particular type of filter for Diesel locos, which is vital item, we have received three tenders A,B, C @ Rs. 3,000/-, 3,200/- and Rs. 4,000/- respectively. This item often remains in short supply on account of failure of firms. In this case order should be given to-
A. A & B after taking concurrence C. A only
B. A&B without finance concurrence D. A,B &C

51. It is proposed to purchase an item of a specific brand only. For this-
A. Specification should be prepared in such a way that only product of that make meets the specification
B. A PAC should be submitted alo ng with the requisition
C. A Sample should be submitted along with the requisition
D. Requisition should be signed by a SAG Officer

52. Weekly Stores Bulletin is a type of
A. Limited tender C. Open tender
B. Special Limited Tender D. None of above

53. On a railway, the items have been classified as A, B, C and V, E, D. While designing stock level limits for various items, we will keep minimum safety stocks for –
A. A-V Items; C. C-V Items;
B. A- D Items; D. C-D Items.

54. Custody stores are the stores –
A. Which are kept under the custody of indenter
B. These are charged off stores but kept under the custody of stores depot awaiting future use.
C. Custody stores are non-stock items which are surplus with the user
D. Custody stores are imprest stock items

55. Standardization helps in
A. Easy maintenance of equipment by suitable replacement
B. It is easy for the supplier to manufacture the item with suitable technology.
C. Scale of economy can be achieved
D. All of them as above

56. Materials not required are returned to the nominated stores depot is mentioned in the stores code in following Para-
A. S - 1539 B. DS-8
C. NS-11 D. SS-11

Part-III Indicate true or false-

1. Stock items can be planned well in advance.
2. Non-stock items cannot be planned.
3. Some non-stock items can be planned.
4. Planning is possible only for M&P items.
5. Procurement includes purchasing but purchasing is not simple buying.
6. Negotiations are not a must in purchasing.
7. More is the inventory; more is the inventory carrying cost.
8. Less is the inventory, less is purchasing cost.
9. 100 % service level for all the items requires blockage of enormous capital.
10. Railways use significant method of coding for material description.
11. For indenting and issue of imprest items form 1830 is mentioned in the stores code

Part –IV (Fill in The Blanks)

1. The pre-check of the purchase order by accounts department is necessary if the value is more than Rs. _____.
2. An item is not issued to any user for past 26 months. The item is not likely be issued in next 28 months. This item will be classified as _____ _____.
3. PL No. of an item is 98-05-0400. This item may be an item of _____.
4. _____ system of codification is followed by Indian Railway for Codification of store items.
5. Principal Head of Stores department on a Zonal Railways is _____ __ _____.

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SAFETY SCENARIO & DISASTER MANAGEMENT

Safety Scenario

Safety in General sense- The activities that seek to minimize or to eliminate hazardous conditions that can cause bodily injury.

Accident: -For the purpose of Railway working, accident is an occurrence in the course of working of Railway, which does or may affect the safety of the Railway, its Engine, Rolling Stock, Permanent Way and Works installations, Passengers or Servants or which affects the Safety of other or which does or may cause delay to train or loss to the Railway.

First Railway accident on earth

(William Huskisson was the first person to die in a railway accident.)

On September 15th, 1830 the MP for Liverpool and former Cabinet minister, William Huskisson, was attending the opening of the Manchester and Liverpool railway, along with a number of other dignitaries, and while his train was stopped for water, Huskisson decided to go to greet the Duke of Wellington, who was riding in another part of the train. As he clambered up into the duke's carriage Huskisson lost his balance and fell into the path of Stephenson's *Rocket*, which was proceeding down the adjacent track. It ran over Huskisson's leg causing severe bleeding and he was placed back on the *Northumbrian* and driven by George Stephenson himself, to hospital in Eccles, where he died later that day. He was 60 years old.

SAFETY **I**NFORMATION **M**ANAGEMENT **S**YSTEM

A digital initiative for enhancing safety in INDIAN RAILWAYS.

Indian Railways is the largest railway network under a single management in the world. With such a massive utilization of assets, Safety is of paramount importance for operational efficiency. A very high priority is accorded to safety to enable Railways to achieve still greater heights of performance. Railway Safety is concerned with the protection of life and property through regulation, management and technology development of all forms of rail transportation.

Safety Information Management System (SIMS) is designed, developed and hosted by CRIS. This application manages and processes information related to any train accidents that occur in Indian Railways.

Safety setup on IR

- Each Deptt. Defines its own Safety Parameters
- Each Deptt. Monitors its own Safety
- Safety Deptt.- In-house Watchdog, Safety Auditor
- Identify & Highlight System Deficiencies
- Accident Enquiry, Coordination with CRS
- Inter-departmental and Inter-disciplinary Checks
- Counselling of Staff
- Rly Bd – Frames Rules (GR) for Working of Rlys
- Inter-Departmental Policy Instructions on Safety

Safety on IR is the end product of cohesive functioning of –

- Track, Rolling Stock, Signals, Electrical Equipments
- Quality of Operation
- Quality of Maintenance
- Quality of Spares
- Functioning of Railway Staff
- Discipline, Rules and Procedures

Something required to be engrained in all spheres of activity and Essential as Philosophy of sustainable development for future survival of Railways----- requires innovative solutions to emerging problems

Administrative Measures

- **Constant Review of Safety Performance at Board's apex level:**

Safety performance is invariably reviewed as a first item on Agenda of Board Meeting at the apex level. All accidents are analysed in detail so that remedial measures can be initiated.

- **Safety Review Meetings with Zonal Railways:**

Chairman and Board Members have conducted Safety Review Meetings with General Managers and PHODs of zonal railways during their visits.

- **Intensive Footplate Night Inspections:**

Intensive footplate inspections including night inspections have been conducted at the level of SAG and Branch officers and supervisors in the field.

- **Regular Safety Drives:**

Safety drives have been launched from time to time, covering the lessons learnt from recent train accidents so as to prevent similar accidents in future.

Railway Accidents

There were 103* consequential train accidents in 2016-17 as compared to 106* accidents during 2015-16. Train accidents per million train Kms, an important index of safety, on IR dropped from 0.10 in 2015-16 to 0.09 in 2016-17.

Comparative position of train accidents during the last five years is as under:

Year	Collision	Derailments	Level Crossing Accidents	Fire in trains	Misc. Accidents	Total	Accident Per Million Train Kms.
2012-13	6	48	58	9	0	121	0.11
2013-14	4	52	51	7	3	117	0.10
2014-15	5	60	56	6	4	131	0.11
2015-16	3	64	35	0	4	106	0.10
2016-17*	5	77	20	1	0	103	0.09

*Excludes KRCL.

Casualties and Compensation:

The number of passengers injured or killed in train accidents and compensation paid in last five years are as under:

Year	No. of passengers		Casualties per million	Compensation paid
	passengers carried			in lakh
	Killed	Injured		
2012-13	61	248	0.04	319.63
2013-14	42	94	0.02	149.22
2014-15	118	324	0.05	127.48
2015-16	40	126	0.02	263.00
2016-17#	195	346	0.07	303.00

#Excludes KRCL.

Causes of Train Accidents:

Out of 103 train accidents which occurred on IR during 2016-17, 86 (83.4%) were due to human failure. These include 64 accidents (62.1%) due to the failure of railway staff and 22 (21.4%) due to persons other than Railway staff. Equipment failure was the cause of 2 (1.9%) of the accidents.

6 (5.82%) accidents on Incidental factors and 2 (1.9%) accidents were due to Sabotage, 3 (2.9%) accidents were due to the combination of factors and 4 (3.9%) accidents are under investigations.

Measures to Improve Safety

Safety Focus- to reduce accidents caused by human errors, a multi-pronged approach with focus on introduction of newer technologies, mechanization of maintenance, early detection of flaws, etc. to reduce human dependence in the first place, along with upgrading the skills of the human resources were the prime drivers for accident prevention.

Periodical Safety Audits- of different Divisions by multi-disciplinary teams of Zonal Railways as well as Inter-Railway Safety Inspections were conducted on regular basis. During 2016-17, 84 Internal Safety Audits and 31 Inter-Railway Safety Inspections were carried out.

Training facilities- for drivers, guards and staff connected with train operation have been upgraded. Disaster Management Modules have also been upgraded. During 2016-17, 1,05,164 safety category employees attended refresher training.

Measures to avoid collisions

To increase Efficiency and to enhance Safety in train operations, Advanced Signalling System with Panel Interlocking/ Route Relay interlocking/ Electronic Interlocking (PI/RRI/EI) along with Multi Aspect Colour Light Signals have been progressively provided at 5,584 stations covering about 88 % of the interlocked Broad Gauge stations on Indian Railways, replacing the obsolete Multi Cabin Mechanical Signalling system, involving a large number of human interfaces. Route Relay Interlocking (RRI) at 12 major stations namely, Kurla, Akola, Erode Jn, Villupuram, Palakkad Jn, Dindigul, TiruchchirapalliJn, Vijaywada, Gamharia, Hajipur, Jhajha and Aligarh with Panel Interlocking at 169 Stations and Electronic Interlocking at 165 stations have been provided during the year 2016-17. It has been planned to replace the entire obsolete mechanical Signalling System with Electronic Interlocking/Relay interlocking by 2020.

Complete Track Circuiting: Complete Track Circuiting has been done upto 100%, 99.8%, 99.6% and 97.8% on A, B, C and D routes respectively. Fouling Mark to Fouling Mark track circuiting on 'A', 'B' 'C', 'D Special' and 'E Special'routes, where permissible speeds are more than 75 kilometers per hour on passenger line has been completed.

Block Proving Axle Counter (BPAC): To enhance safety, automatic verification of complete arrival of train at a station, Block Proving Axle Counter (BPAC) is being provided at stations having centralized operation of points and signals. As on 31.03.2017 Block Proving Axle Counter (BPAC) have been provided on 4,976 block sections.

Axle Counter for Train detection:

Conventional D.C. track circuits are dependent on track and other engineering parameters. Therefore axle counters are being provided to improve reliability of train detection in line with Kakodkar Committee's recommendations.

Intermediate Block Signalling:

Provision of Intermediate Block Signalling (IBS) has proved very useful in enhancing line capacity without extra recurring revenue expenditure in form of manpower and amenities required while developing and operating a block station. As on 31.03.2017, Intermediate Block Signalling have been provided on 501 block sections on Indian Railways.

Automatic Block Signalling:

For augmenting Line Capacity and reducing headway on existing High Density Routes on Indian Railways, Signalling provides a low cost solution by provision of Automatic Block Signalling. As on 31.03.2017, Automatic Block Signalling has been provided on 2,866 Route Kms.

Mini Integrated Power supply (IPS) has been developed to provide stable source of power supply for Signalling system at interlocked Level Crossing Gates, Intermediate Block Signalling and Automatic Signalling goomties.

Automatic Train Protection (ATP)

- **Train Protection & Warning System (TPWS):**

TPWS has capability to control the speed of train in accordance with the sectional permitted speed and signal aspect ahead by automatic actuation of brakes, in case loco pilot fails to do so in time. Thus it mitigates safety risk of accidents/ collisions due to loco pilot's error of Signal Passing at Danger or over speeding. TPWS also reduces delays during foggy weather. It is based on a proven European train protection technology which is deployed extensively on World Railways.

TPWS has been operationalized on 342 RKms on Indian Railways, Further, based on experience, introduction of this technology will be given priority on high density network of Indian Railway. TPWS works has been sanctioned on 3,330 Rkm for Automatic Signalling/High Density Routes on Eastern, South Eastern, Western, North Central, Central, Northern, Southern and South Central Railways.

Train Collision Avoidance System (TCAS):

TCAS is an indigenouslydeveloped Automatic Train Protection System. A developmental projectis being undertaken on a limited section of Lingampalli - Vikarabad -Wadi - Bidar section (250 km) and 40 locos on South Central Railway.

Centralized Traffic Control (CTC) in Indian Railways:

In a firstof its kind on Indian Railways, a Centralized Traffic Control (CTC) with electronic interlocking and automatic signalling system is being set up on the Ghaziabad-Kanpur route - one of the busiest sections of Indian Railways. This is a 410 Km long electrified route dealing with 200 trains per day. Its Central Control Centre is established at Tundla station. CTC System will help in real time monitoring and better management of trains. It provides for remote operation of signals from a centralized control office. The CTC system has been made operational for seven stations pilot section of Ghaziabad - Etawah- Kanpur section of NC Railway. The work for balance stations is in progress.

Train Management System (TMS):

TMS helps in real-time monitoring of trains in the control room. The arrival status of local trains is displayed on indicators installed on platforms in the form of a countdown timer (in minutes) to the train's arrival on the platform accompanied by automatic announcements on platforms.

TMS has been provided on Mumbai suburban section of Western and Central Railway. On WR, it covers the section from Churchgate to Virarextending over 60 km covering 28 stations and on CR it covers the suburban section from CST Mumbai to Kalyan extending over 54 km covering 26 stations.TMSwork is almost complete on Howrah Division of Eastern Railway.

Interlocking of Level Crossing Gates:

This has been a major area of concern. Indian Railways have provided interlocking with Signals at 10,826 Level Crossing Gates to enhance the safety at Level Crossings. Initiative has been taken to Interlock Level Crossing gate with Train Vehicle Units of 20,000 and above.

Sliding Boom: Provision of Interlocked Sliding Boom has become very effective in minimising disruption to train services when Level Crossing Gates get damaged by road vehicles specially in suburban areas. With provision of Sliding Boom Interlocking, Signalling System continues to function normally with minimum effect on train operation. 2,991 Nos. of busy interlocked gate have been provided with Sliding booms in addition to lifting barrier and further busy gates are also being progressively covered.

Earth Leakage Detector (ELD): With increasing traffic density, chances of getting disconnection for meggering of Signalling Cable have reduced. Cable meggering once in a year is a stipulated provision of Signal Engineering Manual. To overcome the problem of getting blocks for cable meggering, ELDs have been developed and are being provided over Indian Railways. ELD will detect low insulation in cables on line, so that signal staff can check the health condition of that cable group in advance and prevent a possible failure in future.

Measures to Reduce Derailments

Upgradation of Track Structureconsisting of pre-stressed Concrete (PSC) sleepers, 52 Kg/ 60 Kg high strength (90 Kg/ mm^2 ultimate tensile strength) rails on concrete sleepers, fan shaped layout on PSC sleepers, Steel Channel Sleepers on girder bridges has been adopted on most of the routes.

Standardization of track structure with 60 Kg Rails and PSC Sleepers Track structure is being standardized with 60 kg rails and PSC sleepers on all the Broad Gauge routes, especially on high density routes to reduce fatigue of rails under higher axle-load traffic. New track construction and replacement of over-aged tracks is being done by PSC sleepers only.

Long welded rails:

For improving maintenance and better asset reliability, Railways are consistently eliminating fish plated joints on tracks by welding the joints to convert all single rails into long welded rails to the extent possible. During relaying/ construction of new lines/ gauge conversion also, long welded rails are laid on concrete sleepers to the extent possible. Mobile Flash Butt welding is being done on priority in construction projects and through weld renewal works. Mobile Butt welding plants are being arranged in Zonal railways for welding work of construction/Open line. Turnouts are also being improved systematically. Now Thick Web Switches are being used to improve asset reliability and to cope with higher axle load and increased volume of traffic. Now Weld able Cast Manganese Steel Crossings have been planned to be provided on identified routes in a phased manner to improve asset reliability and to cope with higher axle load and increased volume of traffic.

Flash Butt Welding:

There is progressive shifting to Flash Butt Welding which is superior in quality as compared to Alumino Thermic (AT) welding.

Ultrasonic testing of rails and welds:

Other measures taken in this direction include use of modern diagnostic aids like Digital Ultrasonic Rail Flaw Detectors (USFD), track recording cars, use of on-track machines for maintenance of track to higher standards controlling/reducing rails and weld failures and ensuring quality of rails during manufacture. Analogue type USFD machines have been replaced with digital type machines which have the facility of freezing scan and storing data during rail and weld testing.

Tie Tamping and Ballast Cleaning Machines:

There has been progressive use of Tie Tamping and ballast cleaning machines for track maintenance.Also, sophisticated Track Recording Cars, OscillographCars and Portable Accelerometers are being used progressively.

Rail Grinding Machines: Two Rail Grinding Machines are working on high density routes of Indian Railways for enhanced reliability of Rails.

Electronic monitoring of track geometryis carried out to detect defects and plan maintenance.

Coaches

Centre Buffer Coupler: Progressive fitment of tight lock Center Buffer Couplers (CBC) in lieu of screw coupling on new manufacturing of ICF design coaches has been carried out with a view to prevent the coaches from climbing over each other in unfortunate event of an accident. So far, 6,331 LHB coaches, 425 Hybrid Stainless Steel Coaches & 1,340 conventional ICF design coaches have been manufactured with CBC. Design of CBC has been upgraded to mitigate problem of jerks during acceleration/ deceleration of trains.

Crashworthy features of Passengers Coaches:

To improve upon the standards of safety, a “crashworthy” ICF coach design, in conjunction with a Centre Buffer Coupler (CBC), was evolved. Such a design enables absorption of significant amount of energy during the impact/collision. About 530 such crashworthy ICF design coaches have been manufactured so far. LHB AC Double Decker coaches introduced first time on Indian Railway have also been provided with enhanced crashworthy features.

Progressive use of Air Springs:

For enhancing safety and reliability of passenger coaches, the suspension systems are being redesigned with air springs at secondary stage capable to maintain constant height at variable loads. Air springs have been developed and are being fitted on all the newly built EMU & DMU coaches for sub-urban trains. Air springs have now been developed for mainline coaches as well and have been fitted in limited number of coaches. Production Units have been asked to use Air springs in all newly manufactured LHB coaches as proposed by RDSO.

Proliferation of LHB coaches for improving Safety:

LHB type coaches have superior crashworthy and anti-climbing features. It has been decided to have complete switchover to production of LHB type coaches from 2018-19 onwards. Hitherto these coaches were inducted into premier services such as Rajdhani, Shatabdi and Durantos but now these are also being inducted into Mail & Express trains. All the Production Units have been asked to manufacture only LHB coach from 2018-19 onwards.

Provision of Automatic entrance doors and Bi directional swing doors in coaches: Provision of Automatic entrance doors have been planned on coaches to prevent accidental falling of passengers from running trains. One air-conditioned EMU (Electric Multiple Unit) rake with Automatic doors, similar to Metro coaches for Mumbai, Western Railway has been manufactured at Integral Coach Factory, Chennai. Integral Coach Factory, Chennai has turned out coaches for Kolkata Metro with Automatic door closure mechanism. Automatic entrance doors have been provided in the design of coaches of one LinkeHofmann Busch (LHB) rake with a higher speed potential of up to 200kmph.

Besides, for faster evacuation in case of emergency, AC compartment doors have been made with Bi- directional swing and fitment has started in new manufactured coaches. Retro fitment is also being done in all AC coaches in progressive manner. And RSP sanction of 425 Coaches in already available.

Measures taken to prevent Fire in Trains

Improving Fire Retardancy in Coaches:

Coaches are being provided with fire retardant furnishing materials such as Fire retardant curtains, partition paneling, roof ceiling, flooring, seat and berths along with cushioning material and seat covers, Windows and UIC Vestibules etc. The specifications of these items are being upgraded from time to time as a part of continual improvement. In the specification of major furnishing items, now a new parameter related to fire retardancy is heat release rate as per latest international norms.

Introduction of Automatic Fire and Smoke Detection System:

A pilot project for field trial with Automatic Fire and Smoke Detection system was taken up in one rake of New Delhi- Bhubaneswar Rajdhani. Besides, one LHB rake in New Delhi -Jammu TawiRajdhani train and one rake of LHB AC Double Decker rake running between Kacheguda-Tirupati/Guntakal of South Central Railway have been provided with Automatic Fire and Smoke Detection system. In the revised specification Air brake system has been interfaced with Fire and Smoke detection system for stoppage of trains in emergency situations. RSP sanction for provision of Automatic Fire and Smoke Detection System in 3,250 Coaches has been taken and work has been completed in more than 200 coaches. Also, instructions have been issued that all newly manufactured AC coaches shall be provided with Automatic Fire and Smoke Detection System by the Production Units (PUs).

Provision of Fire Extinguishers:

Dry chemical powder type fire extinguishers are provided in all Air-conditioned coaches, Second class- cum-guard and luggage van and Pantry cars Besides, sanction for provision of fire extinguishers in 13,500 Non-AC passenger coaches has been obtained under RSP and the work is being carried out in a progressive manner.

Provision of Water mist type Fire Suppression in pantry cars and power cars:

Power cars and Pantry cars are relatively more prone to fire and therefore Fire suppression system based on water-mist technology is being tried out on limited numbers of coaches.

Measures to Curb Accident at Unmanned Level Crossings:

Various measures taken by Indian Railways to prevent accidents at level crossings, are as under:

Containing the proliferation of Level Crossings (LCs) at source:

A policy decision has been taken not to permit any new LC either on existing line or any new line/ gauge conversion to be commissioned henceforth. However, in exceptional cases, retention of manned LCs on new line or gauge conversion can be permitted with the approval of Railway Board.

Road Over/Under Bridges:

To improve safety of train operation and reduce inconvenience to road users, level crossings are being replaced by Road Over/Under Bridges/Subways (ROBs/RUBs) in a phased manner based on the quantum of traffic.

There are 2,207 sanctioned works of ROBs/RUBs appearing in Pink Book 2017-18 which contains 1,670 ROBs and 6,213 RUBs/Subways. These are at various stages of planning, estimation and execution.

During the year 2016-17, 171 ROBs and 1,183 RUBs/Subways have been constructed under cost sharing, railway cost/accommodation works, Deposit/BOT term and by NHAI over Indian Railways.

Bridge Inspection and Management System:

Modern Bridge Inspection techniques have been adopted, which includes testing by non-destructive testing equipments, under water inspections, monitoring the water level with the help of water level system etc. As on 01.04.2017, Indian Railway have 1,44,698 Bridges out of which 680 are important, 11,915 are major and 1,32,103 are minor Bridges. In the Year 2016-17, 753 Bridges were Strengthened/Rehabilitated/Rebuilt to enhance safety of train operations.

Patrolling of Railway Tracks:

During adverse weather conditions patrolling of railway tracks including night patrolling is carried out at vulnerable locations regularly.

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Accidents & Inquiries

Accident: -For the purpose of Railway working, accident is an occurrence in the course of working of Railway, which does or may affect the safety of the Railway, its Engine, Rolling Stock, Permanent Way and Works installations, Passengers or Servants or which affects the Safety of other or which does or may cause delay to train or loss to the Railway.

For statistical purposes accidents have been classified in categories from 'A' to 'R' excluding 'I' and 'O'.

Serious Accident and Disaster :-

Accident to a train carrying passengers which is attended with loss of human life or with grievous hurt to a passenger or passengers in the train, or with serious damage to railway property of the value **exceeding Rs.2,00,00,000** and any other accident which in the opinion of the Chief Commissioner of Railway Safety or Commissioner of Railway Safety requires the holding of an inquiry by the Commissioner of Railway Safety shall also be deemed to be a serious accident. The following shall be excluded: -

(A) Cases of trespassers run over and injured or killed through their own carelessness or of passengers injured or killed through their own carelessness;

(B) Cases involving persons being Railway servant or holding valid passes/tickets or otherwise who are killed or grievously injured while travelling outside the rolling stock of a passenger train such as on foot board or roof or buffer but excluding the inside of vestibules between coaches or run over at a Level Crossing or elsewhere on the Railway track by a train; and

(C) Level Crossing accident where no passenger or Railway Servant is killed or grievously hurt unless the Chief Commissioner of Railway Safety or Commissioner of Railway Safety is of the opinion that the accident requires the holding of an inquiry by the Commissioner of Railway Safety.

Classification of Accidents:-

Accidents are classified under following heads.

(I)Train Accident (II)Yard Accidents (III) Indicative Accidents

(IV) Equipment failures (V) Unusual Incidents.

Train Accidents:-

Train accident is an accident that involves a train and train accidents are further divided as: -

- Consequential train accidents; and
- Other train accidents.

Consequential train accidents :-

Include train accidents having serious repercussion in terms of loss of human life, human injury, loss to Railway property or interruption to Rail traffic. Train accident under following classification will be termed as consequential train accidents: -

- Collision: All cases under categories A-1 to A-4
- Fire: All cases under categories B-1 to B-4
- Level Crossing: All cases under categories C-1 to C-4
- Derailment: All cases under categories D-1 to D-4
- Miscellaneous: All cases under categories E-1

Other train accidents:-

All other accidents which are not covered under the definition of consequential train accidents are to be treated as 'Other train accidents'. These include accidents under categories B-5, B-6, C-5 to C-8, D-5 and E-2.

Yard Accidents:-

All accidents that take place in a yard and do not involve a train are termed as Yard Accidents. These include accidents falling under categories A-5, B-7, C-9 and D-6.

Indicative Accidents:-

In real term they are not accidents but are serious potential hazards and include all cases of train passing signal at danger, averted collision, breach of block rule coming under classification F, G and H.

Breach of Block Rules:-

When a train enters a block section without any authority to proceed or with an improper authority to proceed, or is received on a blocked line not constituting an averted collision, or when it enters or is received on a wrong line at a station or a Catch/Slip siding or sand Hump, it constitutes Breach of Block Rules.

Averted Collisions:-

An averted collision is a circumstance under which but for the vigilance shown by any person or persons, a collision would have occurred, whether in the block section or within the station limits, between two trains or between a train and an obstruction.

Provided further that such an occurrence may not be treated as an 'Averted Collision':

(A) If, outside the station limits, the distance between the two trains or the train and the obstruction at the time the train or trains have finally come to a stop, is 400 meters or more,

(B) If, within the station limits, there is an intervening fixed stop signal at danger governing the moving train, and compliance by the moving train, with the indication conveyed by the stop signal averted the collision between the trains or between the train and the obstruction.

Train Wrecking:-

Means the willful obstruction of or tampering with Permanent Way or Structures or Rolling Stock resulting in an accident to a train, with or without loss of life and/or damage.

Attempted Train Wrecking:-

Means the willful obstruction of or tampering with the Permanent Way or Works, Structures, Equipment or Rolling Stock which, if undetected would have resulted in an accident.

Injuries:

Injuries are classified as:-

(A) Grievous (B) Simple

(A) 'Grievous' injuries for the purpose of these statistics should be taken as injuries as defined in Section 320 of Indian Penal Code reproduced below for ready reference. (Section 320,Indian Penal Code 45 of 1860)

Following kinds of hurt only are designated as 'Grievous':

I. Emasculation.
II. Permanent privation of the sight of either eye.
III. Permanent privation of the hearing of either ear.
IV. Privation of any member or joint.
V. Destruction or permanent impairing of the power of any member or joint.
VI. Fracture or dislocation of a bone or tooth.
VII. Any hurt which endangers life, or which causes the sufferer to be, during the space of twenty
VIII. days, or in severe bodily pain or unable to follow his ordinary pursuits.

(B) <u>Simple Injuries: -</u>

I. A person will be considered to have incurred simple injuries, if these injuries incapacitate the injured person to follow his customary vocation during 48 hours after the occurrence of the accident.
II. A Railway servant is considered to have been injured if he/she is prevented from returning to work as a result of injuries for a period of 48 hours, after the occurrence of the accident.

(C) <u>Trivial Injuries :-</u>

These include injuries other than grievous hurt or simple injuries as defined above.

Note: A person is not to be considered as 'injured' when the injuries received are petty abrasions or bruises or injuries which in the opinion of the reporting officer, do not incapacitate the injured person from following his customary vocation, or mode of life for a period of more than two days.

<u>Threshold Value:</u>

For the purpose of accident, threshold value is the minimum value, beyond which, the accident will be treated as having serious repercussion on the basis of loss to railway property or interruption to communication. It shall constitute two portions:

(A)Threshold value of Railway property, loss of which is fixed at one lakh Rupees;
Or

(B) Threshold value of interruption to communication either partial or total, where duration of interruption is equal to or more than number of hours specified against each cell.

	BG-A, B, C	BG-D, E Spl.	BG-E, MG-
Interruption	or D Spl. (in hours)	or MG-Q,R (in hours)	or NG route (in hours)
Total	3	4	6
Or	Or	Or	Or
Total + Partial	6	8	12

'Interruption' is defined as 'duration from the time of accident till starting of first commercial train (Goods or Passenger) on line clear from adjacent station for movement over the affected line in that section.'

Note :

A time frame of 30 minutes has been laid down within which the first commercial train should start on line clear from adjacent station for movement over the affected line.

Cases of movement of Commercial Train after 30 minutes of fitness of 'Track/OHE shall be categorized as 'delay' in restoration of traffic.

In case, there is no Commercial Train available to be run on that section after Track Fit/ OHE Fit, an exception may be made at the level of COM who shall certify that there was no 'Commercial Train' to pass over the affected section within 30 minutes of Track Fit/OHE Fit.

Fire :-

The statistics of fire shall include all cases of physical fire or smoke omission resulting death or injury or damage to property amounting Rs.5000/- and above.

CLASSIFICATION OF ACCIDENTS AND OTHER OCCURRENCES

Accidents and other occurrences :- are classified as:

(A) Accidents-

(I) Consequential train accidents

(II) Other Train Accidents

(III) Yard accidents

(B) Other Occurrences-

(IV) Indicative

(V) Equipment failure

(VI) Unusual incidents (Other occurrences)

Consequential Train Accidents : (Class -A, B, C, D & E) :-

These will include:-

(i) Collision - (Class A-1 to A-4)
(ii) Fire -(Class B-1 to B-4)
(iii) Accident at Level Crossings (Class C-1 to C-4)
(iv) Derailment - (Class D-1 to D-4)
(v) Miscellaneous accidents (All cases under category E-1).

Other Train Accidents:-

These are not classified as consequential accidents and shall be termed as other train accidents (Class B-5, B-6, C-5 to C-8, D-5 & E-2).

Yard Accidents:-

These include accidents falling under categories A-5, B-7, C-9 & D-6.l

Indicative: (Class F, G, & H) :-

These are potential hazards which affect or are likely to affect railway working, are classified as under:

i. Averted Collisions. (Class F-1 to F-4)
ii. Breach of Block Rules (Class G-1 to G-4)
iii. Train Passing Signals at Danger (Class H-1 to H-2)

Equipment Failure:-(Class J, K, L & M) :-

These include cases like engine failure, rail fracture, signal failure, OHE failure, etc. not resulting in a mishap. (Class J-1 to J-10, K-1 to K-7, L-1 to L-4 & M-1 to M-7).

Unusual Incidents (Other Occurrences): (Class N, P, Q &R):-

These include incidents like murder, suicide within railway premises, thefts, attempted thefts, etc. (Class N-1 to N-3, P-1 to P-3, Q-1 to Q-6 & R-1 to R-5).

REPORTING OF ACCIDENTS

Reportable Train Accidents:-

All accidents falling under the purview of Section 113 of the Railway Act.1989 are termed as reportable train accidents and include following:

A. Any accident attended with loss of any human life or with grievous hurt.
B. Any collision between trains of which one is a train carrying passengers; or
C. The derailment of any train carrying passengers or of any part of such train; or
D. Accidents, which are attended with loss of human life in passenger trains involving train wrecking or attempted train wrecking, cases of running over obstructions placed on the line, of passengers falling out of train or of fires in trains of grievous hurt as defined in the Indian Penal Code or serious damage to railway property of the value exceeding rupees two crore, which have not actually occurred but which by the nature of the accident might reasonably have been expected to occur, the accident is required to be reported to the CRS under section 113 and 114 of the Railway Act, 1989 for holding of an inquiry or otherwise and also cases of land slides or of breaches by rain or flood which cause interruption of any important through line of communication for at least 24 hours.

Report to the Commissioner of Railway Safety:-

In case of accidents falling under section 113 of the Railway Act 1989 the CRS shall be promptly informed about the accident by CSO/ Dy. CSO(Traffic)/ Dy COM (C) or in their absence by other officers nominated for the purpose.

ACCIDENT ENQUIRIES

Object of Accident Enquiries:-

i. To ascertain the cause of accident.
ii. To fix the responsibility
iii. To determine whether there was any general laxity in working, supervision or maintenance or other direct or indirect causes or circumstances, which may have contributed to the accident.
iv. To examine whether there has been any laxity/ delay in rendering relief and restoring through communication.
v. To formulate proposals for preventing recurrence.

(A) Classification of Accident Enquiries:-

i. Enquiry under Commission of Enquiry Act or by a Magistrate.
ii. Enquiry by Commissioner of Railway Safety.

iii. Major Joint Enquiry i.e.
   a. Sr. Administrative Grade Officers' Enquiry.
   b. Jr. Administrative Grade Officers' Enquiry
   c. Divisional Officers' Enquiry
   d. Junior Scale Officers'/Assistant Officers' Enquiry.

iv. Minor Joint Enquiry

v. Departmental Enquiry.

(B) Level of Accident Inquiry by the Railways:-

- All serious accidents shall be inquired into by the Commissioner of Railway Safety.
  In case Commissioner of Railway Safety or Chief Commissioner of Railway Safety is not in a position to inquire into serious accident cases involving coaching train, notified to him under section 113 of Railway Act, the inquiry shall be carried out by a committee of SA grade Officers and CSO of the Railway shall be Convener / Chairman of such committee. The Accident inquiry Report of the Committee shall be accepted by the General Manager of the Zonal Railway.
- All cases of collisions falling under A1 to A4 categories shall be inquired into by Committee of SAG officers unless the same is being inquired by CRS with GM as the accepting authority.
- All other consequential train accidents shall be inquired by byDy.CSOs from Safety Department to be nominated by Gm with the GM as accepting authority.
- All other accidents shall be inquired into by a Committee of Sr. Scale or Junior Scale Officers as decided by respective DRMs with DRM as the accepting authority.
- All yard accidents shall be inquired into by a Committee of Senior Supervisors with Senior DSO/DSO as the accepting authority.
- All cases of Indicative Accidents shall be inquired into by a Committee of Senior or Junior Scale Officer with DRM as the accepting authority except all cases of Signal Passing at Danger (SPAD) which shall be inquired into by a JA Grade Committee of officers at divisional level with Sr. DSO/DSO as one of the members.
- General Manager or DRM can have the inquiry conducted by a committee of higher levels of officers than the above mentioned levels depending upon the seriousness of accident.
- In accident cases wherein the Inquiry Committee determines responsibility on the staff of Foreign Railway, the Inquiry Report should be put up to the Principal Head of the Department of the concerned department of the Railway on which the accident took place through CSO after which such inquiry report shall be accepted by the AGM(instead of DRM). Finalisation of Inter-railway DAR cases arising out of such inquiry reports be followed up by the Principal Head of the Department of the concerned department of the Railway on which the accident took place. If suitable response is not received from the respondent Railway at General Managers' level, then the case should be referred to Railway Board. In case Foreign Railway staff is held 'blameworthy' only, the accident inquiry case may be accepted by DRM.
- All cases of equipment failure shall be inquired into by Senior Supervisors/ Supervisors of respective departments.
- All inquiries will be ordered by the concerned DRM except for inquiries falling under item (ii), (iii) & (iv) of the above wherein General Manager will order the inquiries.

Note: Vide PED/Safety Board's letter no. 2005/Safety(A&R)/6/4 Pt. Dated14.12.2017, it is clarified that the term 'Inquiry Officer' as indicated in the Railway Board's letter refers to Convener/ President of Inquiry Committee. Any Officer having domain knowledge/specialisation in the field which may be required during investigation of a particular accident can be co-opted on the inquiry committee. For co-opting the officer, the inquiry officer shall seek sanction from the General Manager for the same citing the reasons in his proposal. This provision may also be used in case of train accidents involving fire (Reference Board's letter no. 2009/Safety/A&R/ 14/1 dated 07.08.2009).

Enquiry by the Commission of Enquiry:-

The Commission of Enquiry may be appointed by Central Government under the Commission of Enquiries Act 1952, to enquire into an accident. In such an event, any other enquiry/ investigation or other

proceeding in relation to that accident shall not be proceeded with and all records or other documents relating to such enquiry shall be forwarded to such authority as may be specified by the Central Government in this behalf.

Enquiry by Commissioner of Railway Safety:-

Commissioner of Railway Safety may enquire into any accident falling under Section 113 of the Railway Act 1989.

Discretion of CRS to hold enquiry:-

On receipt of the notice of the occurrence of accident the CRS shall as soon as may notify the Railway Administration in whose jurisdiction the accident occurred of his intention to hold an enquiry and shall at the same time fix and communicate the date, time and place of enquiry.

All Officers to Assist in Commissioner of Railway Safety's Enquiry:-

When an enquiry is to be conducted by CRS, the GM will nominate an Officer/ Officers of Administrative rank to attend the enquiry. Headquarter Office will also instruct DRM to arrange from the Divisional Officers concerned to attend the enquiry and be ready to render all assistance. The DRM should also attend the enquiry held by the CRS into train accident personally (unless it is beyond his control due to very compelling reasons) to facilitate the enquiry and in obtaining evidence. DRM shall maintain liaison with the local Magistrate and Police for completing the enquiry expeditiously.

Enquiry, President of :-

At a Joint Enquiry, the senior most official amongst those present at the enquiry will be the president of the enquiry committee. He will be responsible to ensure that the enquiry proceedings are properly finalized in time.

Enquiry, Time Place and Date :-

An enquiry must be held either at the place where the accident took place or at the nearest station unless the committee unanimously agree that the holding of the enquiry elsewhere will best suit the circumstances of the case and the convenience of the witnesses.

All concerned to be relieved for Enquiry :-

Whenever an enquiry has been ordered, it will be the duty of the Divisional Officer of each Department to direct all persons concerned under his charge or any other witnesses whom the committee may require to give evidence to be present at the place and on the date and time fixed for the enquiry along with relevant documents.

Failure to attend Enquiry by a member :-

If a member of the enquiry committee fails to attend or is not represented, his written explanation, if he is an Officer, must be submitted to the president of the Committee, or if he is a Subordinate, to his Superior Officer. An enquiry shall not be generally postponed owing to absence of a member or the president of the committee, if two or more members are present. When a member of Joint Enquiry Committee is unable to attend an enquiry at which his presence is essential on account of the technical knowledge or other facts which he possesses and it is not desirable to postpone the enquiry an officer or a Subordinate Officer of similar standing should, if possible represent him and the Divisional Officer or Head of the Department, as the case may be, must be approached in order that this may be arranged.

Officials performing Dual Function:-

No Officer or a subordinate official whose evidence is required to be deposed before a Fact Finding Enquiry committee should be appointed as a member of the committee except in real emergencies.

The exception should be allowed only under the personal orders of Chief Safety Officer/ Chief Operations Manager, who, before permitting the deviation shall satisfy himself that it is neither possible to find another officer who could be appointed a member of that committee nor would it be desirable. In such cases, the evidence of such member shall be obtained first.

Enquiries to be held promptly:-

Postponement of Enquiries should only be agreed to under very exceptional circumstances and reasons for postponements must be intimated to the DRM by the President of the Enquiry committee.

Absence of a witness:-

In case of absence of a witness, if, with the available evidence, preliminary statements etc. it is possible to conclude the findings must be drawn. Where it is not considered possible to arrive at a conclusion for want of any particular witnesses, the Enquiry may be postponed to record the evidence of the witness, recording the reasons why the evidence of the witness is considered essential. Where, witness happens to be sick, it is the duty of the President to ascertain from the Doctor concerned if the witness is in a position to make a statement and the Enquiry committee must record the statement of the witness if necessary in the Hospital.

Method of Conducting Joint Interdepartmental Enquiry:-

Enquiry to be purposeful.

(A) Before starting the enquiry, issues shall be framed and the evidence confined to settling these issues as far as possible. Witness shall not be permitted to make long irrelevant statements, but from the outset shall be asked questions relevant to the point at issue. Witnesses shall be cross-examined and re-examined if necessary, to elicit important details.

(B) Warning to witnesses - witnesses in the enquiry must be warned that giving false evidence would render them liable to disciplinary action including removal from service.

Checking preliminary statements:-

If a witness has given a statement prior to the Enquiry, that statement shall first be read over to him and recorded as his deposition. The witness shall also be specifically asked to state whether he has anything to depose in addition to, or in modification of that statement and his reply recorded and his signature obtained. Any further evidence on the part of the witness shall be the outcome of cross-examination.

Thorough probe necessary:-

The Enquiry Officer or the Committee shall not be satisfied merely, with the determination of the immediate cause or causes of the accident, but also elicit necessary evidence and ascertain the contributory factors, if any, which have led the staff to commit the breach of rules and shall also go fully in to the extenuating circumstances, if any, which have a bearing on the accident.

Note:

i. Contributory factors are such factors as an irregular and unauthorized method of working followed at the station as a matter of custom, a general laxity in working having taken root at the station for want of proper supervision etc. which have led to the breach of rules in the particular accident enquired into.

ii. Extenuating circumstances are such circumstances as inadequacy of signalling and interlocking equipment or other safety devices (such as inter-locking key box, points indicator, improper station lay out etc.) inadequacy or absence of communication equipment (such as telephones, key transmitters, etc.) resulting in frequent trips on the part of the station staff over long distances impossibility, especially at peak periods, of carrying out all the operations and duties laid down for the staff, impracticability of complying with the station working rules, station working overtime, etc. The standard considered desirable shall be correlated to the workload at the station and shall be

comparable to the standards obtaining at other similar stations.

Evaluating adequacy and promptness of relief measures:-

A thorough and unbiased investigation into the adequacy of the relief measures must be made. In such probes not only the Railway's angle of providing relief measures but also the inconveniences suffered by passengers must be taken into account, lapses in Relief Operations must be clearly brought out and remedial measures instituted.

Matters Brought to Light & Other Observations:-

The Members of the Committee shall also note matters brought to light in the course of the Enquiry, which though not having a direct bearing on the accident or such matters as might lead to accidents of any other descriptions yet it is essential that such potential dangers shall be taken note of and eradicated without delay.

Note:-

i. Observations should be summarized in their chief aspects and reasons given for the conclusion drawn there from by the investigating officers.

ii. Before the commencement of an Enquiry, it is necessary that members should read the relevant paragraphs of the Accident Manual for their guidance and then record a certificate to this effect.

Essentials of Enquiry Reports:-

The proceedings will comprise of the following:

a. Index and list of documents accompanying including list of witnesses.
b. Preliminary - including names and designations of members of Major Joint Enquiry and other present.
c. History of accident.
d. Description of site of accident.
e. Sketch of the scene of accident.
f. (i) Findings (ii) Dissent note, if any (iii) Comments of Majority on dissent note (iv) Staffresponsibility primary/ secondary and rules violated.
g. Remarks and reasons for findings
h. Note for information of administration and its legal advisers in case of litigation arising.
i. Other observations and matters brought to light.
j. Recommendations and system improvement, if any.
k. Comments on adequacy and promptness of relief measures; including delays in movement of Medical Van/ Breakdown trains and transhipment and catering arrangements, for the injured and the stranded passengers.
l. Statements of witnesses. Each witness should be serially numbered, name, designation,Headquarter Station, Division, Age, Length of service, pay scale should be recorded before recording the statement.
m. List giving full particulars of persons injured or killed.

The following appendices shall also form part of Major Joint Enquiry Report:

a) An appendix stating nature, extent and damage to Railway property, viz.
(i) P. Way (ii) Locomotives (iii) Rolling Stock (iv) S&T gears (v) OHE
b) An appendix stating the damage caused to goods consigned by the public
c) Events and time log of relief operations
d) Proforma to be filled in, in case of derailments.
e) Certificate of warning to the witnesses.
f) Report of Metallurgical Analysis etc.

Proceedings should be filed in the above order. The papers should be serially numbered and evidence recorded should be filed in logical order paying due regards to sequence of evidence and importance of

the witnesses concerned. The President of the MJE Committee shall get the proceedings typed/ written.

Preparation of History:

This must be a concise account in narrative form indicating :-

(A) **History:**

i. The time, date and event leading up to the accident.
ii. What actually occurred?
iii. The result and consequences including interruption of traffic.
iv. Description of and comments on the adequacy and promptness or otherwise of first aid and medical assistance.
v. Description of and comments on the adequacy and promptness or otherwise of general relief operations and
vi. Description of the site of accident and its approaches.

(B) **The description** (summary of the accident and the locality): This shall be a record of the facts and will include such of the following items, as may be relevant to the accident under enquiry.

Description of the accident :-

1. Date and time of the accident
2. Nature and summary of the accident,
3. Kilometrage,
4. Nearest Station,
5. Terminal stations at either end,
6. Single or double line/ quadruple/ multiple line,
7. If the line is electrified,
8. Number and class of train
9. Load in tones and vehicles,
10. Marshalled order of train
11. Condition of rolling stock,
12. Brake power on train
13. Whether the train was booked to run through or stop,
14. Train lights and headlight whether burning,
15. System of working at the time and
16. Weather conditions.

Description of the locality: Formation, grades, curves, type and conditions of permanent way, gauge, cross levels, cant, super elevation, description of signals, sighting of signals from approaching train and from the point from which they are worked system of interlocking and when no interlocking is provided method of setting and locking of points and controlling of signals.

Evidence and Statements :-

Evidence should be recorded as connected narrative followed by cross-questions and answers. Care should be taken not to intimidate witnesses. Witnesses who understand English shall read and sign the recorded statement on each page. The evidence may be recorded in Hindi wherever feasible. As regards illiterate witnesses, evidence should be read over and explained before their signatures are obtained and the President or any other official conversant with the language should certify that this has been done. Thumb impressions shall be attested accordingly.

Points for evidence:-

The points given in the following paragraphs (A) to (H) should be borne in mind in course of enquiries and should be brought out in evidence:

(A) General points.

(B) Sequence of events in time.

(C) Points as to Traffic working -

1. Entries in Station Registers referring to trains concerned.
2. Condition of Registers.
3. Condition of Line Clear Ticket and counterfoil.
4. Procedure of obtaining line clear.
5. Preparation of the Line Clear Tickets.
6. Procedure of delivery of Line Clear to Loco Pilot
7. Condition and recent history of block instruments.
8. Whether trains concerned were running as usual or not?
9. Procedure of working of points and Signals and nature of Station Master's control.

(D) Points as to the staff:

1. Whether acquainted with rules concerned?
2. Whether in possession of the prescribed books?
3. Whether in receipt of notices concerned
4. Whether Loco Pilots have signed as acquainted with the road and when?
5. Whether Loco Pilots have been over the road recently?
6. Whether the staff has worked the same train before?
7. Exact scope of each man's duties, where these are not well known (This applies to all the train staff and is particularly to be borne in mind in the case of staff of large stations).
8. Health and eyesight of staff.
9. Hours of work and previous rest of Railway staff concerned.

(E) Points as to Trains:

1. Type and conditions of couplings.
2. Train lights carried and if burning, focusing of lights.
3. If required Weight of each wheel of vehicle concerned in a derailment.
4. Brake Power on trains.

(F) Points as to permanent way and works:

1. Recent history of line at place of accident.
2. When line was last worked out?

3. System of work of permanent way Gangs on the section concerned.

(G) Points as to signals and interlocking:

1. System of locking & interlocking point and signals.
2. Nature of Station Master's Control.
3. Time of lighting and condition of lamps of signals, indicator and discs.
4. Present condition of signals, test of return of arms, etc.
5. Recent history of signals.

(H) Points for Level Crossing: Examine and record whether:

1. Gate wings were properly closed and locked.
2. The gate lamps were in good condition and lighted.
3. The hand signals lamps of the gateman were in order.
4. The engine was running engine foremost or tender foremost and provided with headlight in working order.
5. The road vehicle was carrying any light.
6. The Loco Pilot of the vehicle was under the influence of any liquor or drug.
7. At what distance the train stopped and the position of the brake van and engine from the level crossing.
8. Speed of the train and the road vehicle when approaching level crossing.
9. The direction from which the road vehicle and relative visibility of the vehicle and the train while approaching level crossing.
10. Any whistle board provided and if so did the Loco Pilot whistle at the spot?
11. Particulars of the Cart/ Vehicle whether damaged or not and position on the level crossing.
12. Any road signs provided for the road traffic.
13. Whether the Loco Pilot had any license in case of road vehicles and whether the license actually tallied with the type of vehicle he was driving.
14. Were the rules for working of the gate observed properly?
15. Was there any independent eyewitness who could give an account of the accident?
16. Condition of the road surface and approach.

Points as to Appendices:-

1. Plan of site of Accident. (This should be given in almost every case. On a good, fullydimensioned plan most of the information included under "Description of Accident' canbe given. These descriptions can then be reduced to the smallest compass).
2. Drawing required. (Section or Wheel-tyres, Axles etc.)
3. Extracts from train registers.
4. Rules bearing on the occurrences.
5. List of passengers killed and injured.
6. List of Railway Servants killed and injured.
7. Damage to stock, permanent way and works.

8. Extent of damage caused to public property and/ or consignments booked by the public parties.

Findings :-

The findings should be concise and clear and consist of a simple statement of the opinion of the Committee as to

i. What caused the accident as precisely as possible
ii. Names and designations of persons responsible therefore.
iii. Rule/ Rules or instructions violated or disregarded by each of the staff. The Primary/ Secondary responsibility of the staff/ department shall be specifically indicated. It should also be mentioned under which of the category the cause of accident falls i.e.:
iv. Failure of Railway Staff
v. Failure of other than Railway Staff.
vi. Failure of equipment.
vii. Sabotage.
viii. Combination of factors.
ix. Other miscellaneous causes.
x. Cause could not be established.

Remarks and Reasons for Findings should contain :-

i. Comments on inspection of site, the rolling stock involved and the material instruments and appliance etc. should be stated clearly in support of reasons arising
ii. Discussion of all conflicting evidence and the committee's deductions there from
iii. The contributory factors and the extenuating circumstances, if any.

The Committee should state precisely the reasons, which have led them to arrive at their findings bearing in mind that the proceedings have to be considered by those who have not had the advantage of hearing the evidence and reviewing the circumstances on the spot. The remarks and reasons should, therefore, to be as complete as possible. The value of evidence of each witness should be noted upon and it should be stated in case of doubtful witnesses, whether the witness is impartial or whether he is one to whom the decision is a matter of indifference, or whether he is likely to be interested in securing a particular decision.

Recommendations and system improvement :-

The Committee may suggest any improvements in the rules or practices of working, which in their opinion, would prevent similar accidents in future or improve the working based not only on the cause or causes of the accident, but also the contributory factors, if any and the extenuating circumstances, if any. In case of "system failure" when staff at different location have been found similar short cut methods or unsafe practices. The enquiry committee should answer the question "what system, practices and procedures need to be improved and how?" If there is no recommendation/ suggestion to be made, a NIL entry should be made in the form. The recommendations should, however, be pragmatic and feasible.

Enquiry to be fair and impartial:-

To be purposeful the enquiries should be fair and impartial and conducted with utmost efficiency and sincerity. Serious view should be taken of any Officer who shows Departmental bias in proceedings of accident enquiry.

Enquiry Committee unable to come to decision:-

In those extremely rare cases where enquiry committee is unable, to come to definite conclusion, either a fresh enquiry may be ordered or accepting authorities may draw their own conclusions based on records as the case may be.

Dissent Note:-

As far as possible, the MJEC should come to a unanimous decision. However, if any member of MJE gives a dissent note the majority of members should give detailed item wise reasoned remarks on the dissent note. The DRM may agree either with the majority findings or with the conclusions of the dissenting Officer with brief reasons to be recorded in writing.

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DISASTER MANAGEMENT

Disaster in the railway context is defined as -
"Railway Disaster is a serious train accident or an untoward event of grave nature, either on the railway premises or arising out of railway activity in that area, due to natural or manmade causes, that may lead to loss of many lives and/or grievous injuries to a large number of people, and/or severe disruption of traffic, necessitating large scale help from other Government/ Non-government and private Organizations"

(Rly.Bd s letter No. 2003/Safety (DM)/6/2 Pt. dated 06.01.09)

Background

Indian Railways came into existence with the running of the first train from Kurla to Thane in 1853. Ever since then handling train accidents has been a priority area for the railways. With the main reason for building up of the rail network by the British Empire being the transportation of the military requirements through the Indian Railways, the railway organization worked hand in hand with the army authorities. Sharing of the Indian Railways and Army Cranes as also their Medical Vans in times of a train accident was an accepted system for handling disasters (rail accidents).

With the gradual growth of Indian Railways and its transition to transportation of passengers and other goods including raw material for industries etc the railway gradually built up its own infrastructure of Cranes, Accident Relief Trains (ARTs), Accident Relief Medical Equipments(ARMEs). Till the beginning of the year 2005, a disaster on the railway in effect meant a serious train accident; other items of disaster viz. Floods, Earthquakes etc were handled in an uncoordinated manner. Disaster preparedness of the Railways, mainly pertaining to handling train accidents, had been gone into by a High Level Committee (HLC) in the year 2002/03 whose recommendations, where relevant, have been kept in view in the preparation of Railways Disaster Management Plan.

The situation has now changed with the promulgation of the Disaster Management (DM) Act in 2005. A disaster no longer means only a train accident, but its scope has become much wider to include other incidents, terrorism related activity and natural calamities etc. The Indian Railways Disaster Management Plan has to be prepared on the principles now incorporated in the Disaster Management Act and the National Policy on Disaster Management as also Guidelines issued by NDMA. The basic philosophy is now to be followed is of sharing resources of all Government Departments along with Railways own resources available to handle serious train accidents, other mishaps, and terrorism related crisis and natural calamities etc.

Recommendations of High Level Committee on Disaster Management:

Various committees have been appointed on the Indian Railways to review Preparedness to handle a Disaster. A high level committee (HLC) was constituted in Sep 02 (headed by Mr. S. Dhasarathy, retd MM, Rly Bd) to review Disaster Management on the Railways. The terms of reference of this committee were "to review the existing DM system over Indian Railways related to train accidents and natural calamities and to suggest improvements". Despite the above Terms of Reference incorporating an item of natural calamities, the high level committee had mainly gone into DM system over Indian Railways related to train accidents; natural calamities were hardly considered for review of relief/rescue arrangements with the railways.

The report of this committee was published by Railway Board vide letter no. ERB-I/2002/24/44 dated 17.9.02. Till 28.02.13, 99 recommendations have been implemented out of a total of 111 recommendations on all the Zonal Railways. The balance 12 is under various stages of implementation on the zonal railways.

The recommendations had varying time frame of implementation with maximum being 36 months. Implementation of some of the recommendations has been delayed as the associated policy decision, research and development and vendor identification took some time. With the change in national scenario, some of the recommendations were reviewed to fall in line with the latest concept of participation by all stakeholders during disasters. However, as mentioned above the emphasis of this Committee was to improve Railways resources for handling Train Accidents only.

Another Disaster Management Review Committee was appointed on 27.02.07 under the Chairmanship of Mr. G. Narayan, an ex. IPS officer, with Terms of Reference to audit the current preparedness of all types of disasters/hazards for prevention, mitigation, rescue, relief and rehabilitation; integration of disaster reduction concept into development planning; and to recommend areas of multi-stakeholder partnership and citizen participation to establish a coordinated mechanism for disaster reduction, response and rehabilitation etc.

Report of the Disaster Management Review Committee (Headed by Shri G. Narayan), was submitted on 22.12.08, in the form of 106 recommendations, out of which recommendation No. 2 have three parts (A, B & C), thus there are actually 108 recommendations. Out of these 108 recommendations, 67 recommendations are not accepted, 41 recommendation have been accepted (36 recommendations already implemented, 5 recommendations are being implemented).

Disaster Risks in India:

India is vulnerable, in varying degrees, to a large number of natural as well as man-made disasters. 58.6% of the landmass is prone to earthquakes of moderate to very high intensity; over 40 million hectares (12% of land) is prone to floods and river erosion; of the 7516 km long coastline, close to 5700 km is prone to cyclones and tsunamis; 68% of the cultivable area is vulnerable to drought and hilly areas are at risk from landslides and avalanches. Vulnerability to disasters/emergencies of Chemical, Biological, Radiological and Nuclear (CBRN) origin also exists. Heightened vulnerabilities to disaster risks can be related to expanding population, urbanization and industrialization, development within high-risk zones, environmental degradation and climate change. It can also be related to increase in terrorism around the Globe.

Disaster defined in Railways'context:
The concept of a Disaster was, till the year 2005, not adequately and comprehensively

defined on Indian Railways. It was accepted that a Disaster situation implies, on the railways, to cover only cases of serious rail/train accidents. It was, perhaps, due to this anomaly as late as the year 2008, even CAG s report on DM on Indian Railways has broadly adopted this fact in the concept of disaster and has gone to examine the relief/rescue/mitigation and preparedness of Indian Railways based on the earlier concepts and has reviewed the facilities for handling disasters available with the Railways only on the report/ recommendations of the HLC on DM of Mr. S. Dhasarathy.

The definition of DM as given by the Government of India was legislated for the first time in the Disaster Management Act, 2005. The broad principles of disaster for any department of the government changed to the concept of any incident which could not be handled with alone by that department i.e. if it was beyond the coping capacity of a particular department, the incident could be termed as a disaster. With this came the concept of the departments of Government of India as also the State governments required to join hands to extend whatever facilities were available with them to provide relief/rescue and mitigation on the occurrence of a disaster.

Strengths of the Railways to handle a Disaster:-

In handling disasters, Indian Railways is in a unique position as it has a number of strengths not available with many other departments of Government of India. These include:

- Railways own Communication Network.
- Operating Control on each Division linked with each Station.
- Territorial Army Units.
- Uniformed force of RPF/RPSF
- Railways own Medical Infrastructure
- Civil Defence Organization
- An army of Gang men spread out all over the Indian Railways.
- Scouts and Guides (they can at best provide background support).
- Dedicated Rescue/Restoration and Medical Equipment on Rails.

Each of the above can be made use of to handle adversities depending upon requirement to handle the disaster.

Railway's shortcomings to handle Disaster:

There are, however, a few inadequacies in the Railways own resources which are very essential for handling a specific type of Disaster as under:

- Absence of Tunnel rescue equipment - in case of collapse of or mishap in a rail Tunnel, expertise and related equipment on this aspect is lacking.
- Non-availability of trained divers for extrication of passengers and/or casualties (dead bodies and drowning/drowned passengers) from rolling stock fallen down in sea/river/lake etc. Limited help of sports persons (Swimmers) can be taken for this; the time of their mobilization is a factor to be kept in view.
- Non-availability of cranes operated from a ship/barge for lifting of the coaches/bogies from a water body.
- Ability to handle a CBRN Disaster and major fire.
- Limited resources to handle a terrorist attack on a train and/or a station, other railway premises etc

Types of Disasters

Disaster in the Railway context was traditionally a serious train accident, caused by human/equipment failure, which may affect normal movement of train services with loss of human life or property or both. This is now extended to include natural and other manmade disasters. Different types of disasters are described along with a few examples, below:

a) **Natural Disaster:-**
   Earthquakes, Floods, Cyclones, Land Slides, Snow Avalanches, and Tsunami etc.
b) **Train Accident related Disaster**
   Collisions (with a huge number of casualties), Train marooned (flash floods), derailments at a bridge over a river, and coaches falling down; train washed away in cyclone, derailment of a train carrying explosives or highly inflammable material, tunnel collapse on a train, fire or explosion in trains, and other miscellaneous cases etc.
c) **Manmade Disasters**
   Acts of Terrorism and Sabotage, i.e. causing deliberate loss of life and/or damage to property, which includes :- Setting fire to a Train, Railway installations etc., bomb blast at Railway Station/Train, Chemical (Terrorism) Disaster, Biological, Radiological and Nuclear Disaster.

Levels Of Disaster Causing Interruption To Train Services:

Railway accidents can be categorized into different levels:

Level-I Accidents of a magnitude which can be managed by the concerned divisional authorities.

Level-II Accidents of a magnitude which may require assistance from neighbouring divisions but can be managed by the Zonal Railway: and

Level-III Disasters of a magnitude in terms of their severity or scale of casualties that require active involvement of multiple agencies of the Central Govt. (Ministry of Railways and other Ministries).

Changed Philosophy of Disaster Management in the Railways
With the enactment of the Disaster Management Act, 2005 and other developments on the national level, DM philosophy has also changed to adopt the latest concepts.

NEW PHILOSOPHY

- Serious train accidents, not the only events termed as disasters.
- Other events, e.g. Internal security related events like terrorist attack at station/train, marooning of train due to flash flood, disruption to traffic due to natural factors like earth-quake, cyclone, floods etc.
- No more Relief and Rescue Centric.
- Holistic Approach adopted to incorporate :-
  - Prevention
  - Mitigation
  - Prepardness
  - Rescue,Relief
  - Rehabilitation

New Philosophy gives more Emphasis on Prevention and Mitigation as under:

- Prevent and mitigate disasters
- Audit Existing Systems for Disaster Resistance, Disaster Prevention and Mitigation on the basis of NDMA s and self-prepared guidelines
- Disaster Management in Developmental Planning - New activities should be disaster resistant
- Preparedness, Rescue, Relief and Rehabilitation - Dimensions of DM
- Expertise based response from all stake holders
- Pooling of resources of all agencies, e.g. local administration, community, defence, hospitals and other Govt. organizations.

Definition of a Disaster on Railways:

Based on the definition of the Disaster Management Act 2005, Ministry of Railways has adopted the following definition of Railway Disaster:

"Railway Disaster is a serious train accident or an untoward event of grave nature, either on railway premises or arising out of railway activity, due to natural or man-made causes, that may lead to loss of many lives and/or grievous injuries to a large number of people, and/or severe disruption of traffic etc, necessitating large scale help from other Government/Non-government and Private Organizations."

Nodal department for Policy Formulation on DM on Indian Railways:

The preparation of the Disaster Management Plans on Indian Railways and on the Zonal Railways in co-ordination with the different Departments of the Railway, other Central/State Govt. agencies, NGOs, Private agencies, etc. has to be done by the Safety department in the Railway Board, on the Zonal Railways and Divisions.

The Hospital DM plans and the Security arrangements (drills etc) shall be prepared and coordinated by the Medical and the Security deptt. respectively.

The Management of Floods, Cyclones, Earthquakes, Landslides, etc, and preventive action to be taken for mitigation shall be coordinated by the Civil EnggDeptt.

The Rescue and Restoration DM Plans including preparing plans and procurement of specialized equipment and rescue centric training of personnel has to be coordinated by the Mechanical Department.

Authority to declare a Disaster on Railways:

Railway Board has also approved to nominate GMs, AGMs or CSOs (when GM/AGM are not available) for declaring an untoward incident as Railway Disaster. With the adoption of the above definition of Railway Disaster, it needs to be appreciated that not only a serious train accident may turn into a railway disaster, if not handled and managed properly, there may be many more railway related events which may not even involve human lives but may turn into disasters for which necessary prevention and mitigation measures are to be taken by the railways beforehand. Zonal Railways will ensure that prevention, mitigation, preparedness, rescue and relief related issues covering all types of disasters affecting railway system are addressed and their details are also appropriately incorporated in their Disaster Management plans.

DISASTER MANAGEMENT ACT - 2005

National Policy on Disaster Management (NPDM) :

The Disaster Management Act, 2005 (hereinafter referred to as the Act), enacted by the Parliament was notified in the Gazette of India on 26th December, 2005. The Act provides for the legal and institutional framework for the effective management of disasters. The Act mandates creation of new institutions and assignment of specific roles for Central, State and Local Governments. Under the provisions of the Act, the National Disaster Management Authority (NDMA) has been established under the chairmanship of the Prime Minister and a National Executive Committee (NEC) of Secretaries has been created to assist the NDMA in the performance of its functions. At the State level, a State Disaster Management Authority has been created under the chairmanship of Chief Minister, which has been assisted by a State Executive Committee. At the District level, District Disaster Management Authorities have been created.

The responsibility of laying down the policies on disaster management, approving the National Policy on Disaster Management (NPDM) and laying down the guidelines on Disaster Management has been given to NDMA under the Act. The NDMA accordingly prepared a draft of the National Policy on Disaster Management in consultation with the Home Ministry and submitted the same for approval of the Government.

The Home Ministry has circulated the draft NPDM to the concerned Central Ministries and all the State Governments/Union Territories. The comments received by the Central Ministries/State Governments /Union Territories were duly examined and the acceptable views/comments of Central Ministries/State Governments/Union Territories have been duly incorporated in the NPDM. Approval of the Cabinet to the NPDM was given in the Cabinet Meeting held on 22.10.2009.

The NPDM envisages a holistic approach to disaster management, encompassing the entire disaster management cycle including prevention, mitigation, preparedness, relief, response, rehabilitation and reconstruction. It addresses all aspects of disaster management covering institutional, legal and financial arrangements, capacity building, knowledge management, research and development. It focuses on the areas where action is needed and the institutional mechanism through which such action can be channelized.

Salient Features of the Disaster Management Act, 2005 :

It is the central legislation on Disaster Management around which all the Disaster Management related activities revolve since its enactment. It legislates a holistic approach to Disaster Management; from mere responding to disasters to greater attention to prevention and mitigation, capacity building and preparedness. The Disaster Management Plan of the Railways has been prepared by taking relevant provision of this Act into consideration.

Disaster has been defined in this Act as under:

"Disaster means a catastrophe, mishap, calamity or grave occurrence in any area, arising from natural or man- made causes, or by accident or negligence which results in substantial loss of life or human suffering or damage to, and destruction of, property, or damage to, or degradation of, environment, and is of such a nature or magnitude as to be beyond the coping capacity of the community of the affected area"

Disaster Management has been explained in this Act as under:

"Disaster Management means a continuous and integrated process of planning, organising, coordinating and implementing measures which are necessary or expedient for-

- Prevention of danger or threat of any disaster;

- Mitigation or reduction of risk of any disaster or its severity or consequences;
- Capacity-building;
- Preparedness to deal with any disaster;
- Prompt response to any threatening disaster situation or disaster;
- Assessing the severity or magnitude of effects of any disaster;
- Evacuation, rescue and relief;
- Rehabilitation and reconstruction"

Important Provisions in the DM Act, 2005 Concerning Railways:

Sections 35, 36 & 37 of the DM Act, 2005 detail the responsibilities of Ministries and Departments of Central Govt. as per which a number of measures/actions are to be taken either on their own or in consultation with NDMA. Drawing up mitigation, preparedness and response plans, capacity building, data collection and identification and training of personnel in relation to Disaster Management is one of the key responsibilities. These provisions are summarized as under:-

Section 35

The Central Government shall take all such measures as it deems necessary or expedient for the purpose of disaster management and it shall include :-

a) Coordination of actions of the Ministries or Departments of the Government of India, State Governments, National Authority, State Authorities, governmental and non-governmental organizations in relation to disaster management;
b) Ensure the integration of measures for prevention of disasters and mitigation by Ministries or Departments of the Government of India into their development plans and projects;
c) Ensure appropriate allocation of funds for prevention of disaster, mitigation, capacity-building and preparedness by the Ministries or Departments of the Government of India;
d) Ensure that the Ministries or Departments of the government of India take necessary measures for preparedness to promptly and effectively respond to any threatening disaster situation or disaster;
e) Cooperation and assistance to the State Governments, as requested by them;
f) Deployment of naval, military and air forces, other armed forces of the Union or any other civilian personnel as may be required for the purposes of this Act.

Section 36

It shall be the responsibility of every Ministry or Department of the Government of India to-

a. Take measures necessary for prevention of disasters, mitigation, preparedness and capacity-building in accordance with the guidelines laid down by the National Authority;
b. Integrate into its development plans and projects, the measures for prevention or mitigation of disasters in accordance with the guidelines laid down by the National Authority;
c. Respond effectively and promptly to any threatening disaster situation or disaster in accordance with the guidelines of the National Authority or the directions of the National Executive Committee in this behalf;
d. Review the enactments administered by it, its polices, rules and regulations, and incorporate provisions for prevention of disasters, mitigation or preparedness;
e. Allocate funds for measures for prevention of disaster, mitigation, capacity-building and preparedness;
f. Provide assistance to the National Authority and State Government for
    i. Drawing up mitigation, preparedness and response plans, capacity building, data collection and identification and training of personnel in relation to disaster

management.

ii. Carrying out rescue and relief operation in the affected area;

iii. Assessing the damage from any disaster;

iv. Carrying out rehabilitation and reconstruction;

g. Make available its resources to the National Executive Committee or a State Executive Committee for the purposes of responding promptly and effectively to any threatening disaster situation or disaster, including measures for-

i. Providing emergency communication in a vulnerable or affected area;

ii. Transporting personnel and relief goods to and from the affected area;

iii. Providing evacuation, rescue, temporary shelter or other immediate relief;

iv. Setting up temporary bridges, jetties and landing places;

v. Providing, drinking water, essential provisions, healthcare, and services in an affected area;

vi. Take such other actions as it may consider necessary for disaster management.

Section 37

1. Every Ministry or Department of the Government of India shall-

A. Prepare a disaster management plan specifying the following particulars, namely;

i. The measures to be taken by it for prevention and mitigation of disasters in accordance with the National Plan;

ii. The specifications regarding integration of mitigation measures in its development plans in accordance with the guidelines of the National Authority and the National Executive Committee;

iii. Its roles and responsibilities in relation to preparedness and capacity-building to deal with any threatening disaster situation or disaster;

iv. Its roles and responsibilities in regard to promptly and effectively responding to any threatening disaster situation or disaster;

v. The present status of its preparedness to perform the roles and responsibilities specified in sub-clauses (iii) and (iv);

vi. The measures required to be taken in order to enable it to perform its responsibilities specified in sub-clauses (iii) & (iv)

B. Review and update annually the plan referred to in clause (a);

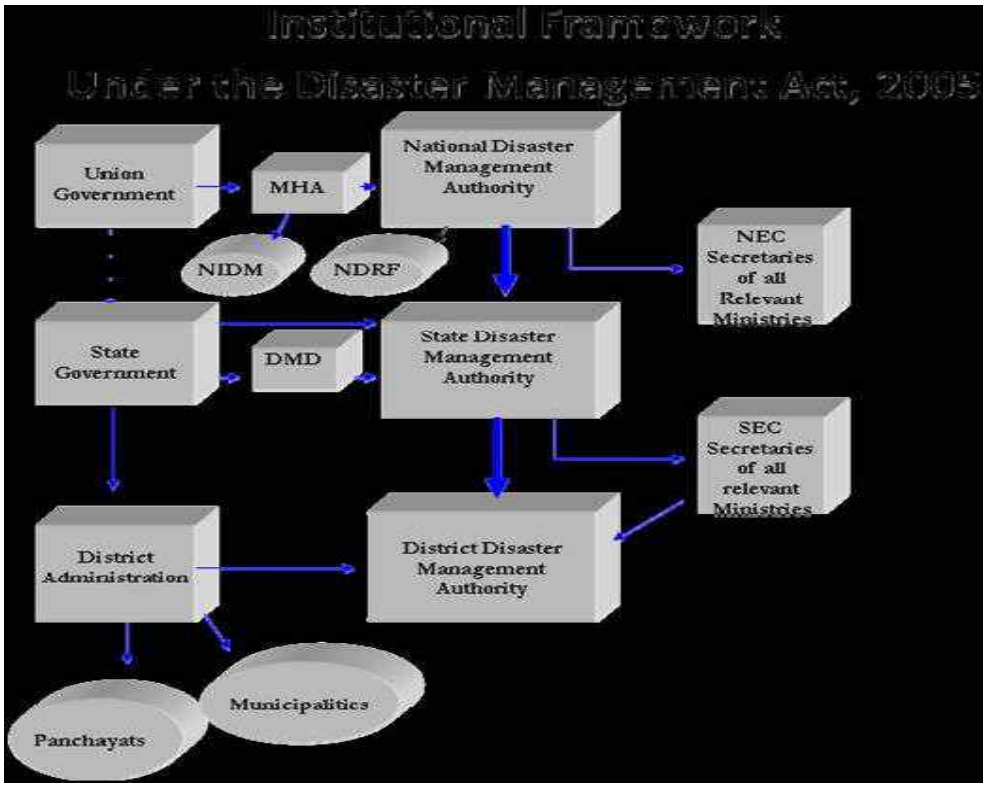
C. Forward a copy of the plan referred to in clause (a) or clause(b), as the case may be, to the Central Government which Government shall forward a copy thereof to the National Authority for its approval

2. Every Ministry or Department of the Government of India shall-

a. Make, while preparing disaster management plan under clause (a) of sub section (1), provisions for financing the activities specified therein;

b. Furnish a status report regarding the implementation of the plan referred to in clause (a) of sub-section (1) to the National Authority, as and when required by it.

Institutional Frame work under DM Act 2005



NATIONAL DISASTER MANAGEMENT AUTHORITY (NDMA)

The Disaster Management Act, 2005, provides the powers, roles and jurisdiction of a National Authority as under:-

Powers and functions of National Authority:

Subject to the provisions of this Act, the National Authority shall have the responsibility for laying down the policies plans and guidelines for disaster management for ensuring timely and effective response to disaster.

The National Authority may –

a. Lay down policies on disaster management;
b. Approve the National Plan;
c. Approve plans prepared by the Ministries or Departments of Government of India in accordance with the National Plan;
d. Lay down guidelines for the State Authorities to draw up the State Plan;
e. Lay down guidelines to be followed by the different Ministries or Departments of the Government of India for the purpose of integrating the measures for prevention of disaster or the mitigation of its effects in their development plans and projects;
f. Coordinate the enforcement and implementation of the policy and plan for disaster management;
g. Recommend provision of funds for the purpose of mitigation;
h. Provide such support to other countries affected by major disasters as may be determined by the Central Government;
i. Take such other measures for the prevention of disaster, or the mitigation, or preparedness and capacity building for dealing with the threatening disaster situation or disaster as it may consider necessary;
j. Lay down broad policies and guidelines for the functioning of the National Institute of Disaster Management;

Constitution and Role of NDMA:

It is constituted under the DM Act as the apex body in the country to deal with Disaster Management holistically. Hon ble Prime Minister is the ex-officio Chairperson of the Authority, the total number of Members is limited to nine to be nominated by the Chairperson. Vice Chairperson is Cabinet rank and Members are State rank Ministers.

NDMA is responsible for laying down the policies, plans and guidelines for disaster management for ensuring timely and effective response to disaster.

State and Districts have also been mandated to constitute State and District Disaster Management Authorities respectively on the line of NDMA.

Constitution of Advisory Committee by National Authority:

The National Authority may constitute an Advisory Committee consisting of experts in the field of disaster management and having practical experience of disaster management at the National, State or District level to make recommendations on different aspects of disaster management;

National Executive Committee:

The Central Government shall, immediately after issue of notification under sub-section (1) of section 3, constitute a National Executive Committee to assist the National Authority in the performance of its functions under this act.

The National Executive Committee shall consist of the following members, namely:

a. The Secretary to the Government of India in charge of Ministry or Department of the Central Government having administrative control of the disaster management, who shall be Chairperson, ex-officio ;
b. The Secretaries to the Government of India in the Ministries or Departments having administrative control of the agriculture, atomic energy, defence, drinking water supply, environment and forests, finance (expenditure), health, power, rural development, science and technology, space, telecommunication, urban development, water resources and the Chief of the Integrated Defence Staff of the Chiefs of Staff Committee as ex- officio, members.

The National Executive Committee shall assist the National Authority in the discharge of its functions and have the responsibility for implementing the policies and plans of the National Authority and ensure the compliance of directions issued by the Central Government for the purpose of disaster management in the country.

The National Executive Committee may-

- Act as the coordinating and monitoring body for disaster management;
- Prepare the National Plan to be approved by the National Authority;
- Coordinate and monitor the implementation of the National Policy;
- Lay down guidelines for preparing disaster management plans by different Ministries or Departments or State Authorities;
- Provide necessary technical assistance to the State Government and State Authorities for preparing their DM plans in accordance with the guidelines laid down by the National Authority;
- Monitor the implementation of the National Plan and the plans prepared by the Ministries or Departments of the Government of India;

- Monitor the implementation of the guidelines laid down by the National Authority for Integrating of measures for prevention of disasters and mitigation by the Ministries or Departments in their development plans and projects;
- Monitor, coordinate and give directions regarding the mitigation and preparedness measures to be taken by different Ministries or Departments and agencies of the Government;
- Evaluate the preparedness at all governmental levels for the purpose of responding to any threatening disaster situation and give directions where necessary for enhancing such preparedness;
- Plan and coordinate specialized training programme for disaster management for different levels of officers, employees and voluntary rescue workers;
- Coordinate response in the event of any threatening disaster situation or disaster;
- Lay down guidelines for, or give directions to, the concerned Ministries or Departments of the Government of India, the State Government and the State Authorities regarding measures to be taken by them in response to any threatening disaster situation or disaster;
- Require any department or agency of the Government to make available to the National Authority or State Authorities such men or material resources as are available with it for the purposes of emergency response, rescue and relief;
- Advise, assist and coordinate the activities of the Ministries or Departments of the Government of India, State Authorities, statutory bodies, other governmental or non-governmental organizations and others engaged in disaster management;
- Provide necessary technical assistance or give advice to the State Authorities and District Authorities for carrying out their functions under this Act;
- Promote general education and awareness in relation to disaster management;
- Perform such other functions as the National Authority may require it to perform.

National Plan :-

There shall be drawn a plan for Disaster Management for the whole of the country to be called the National Plan;

The National Plan shall be prepared by the National Executive Committee having regard to the National Policy and in consultation with the State Governments and expert bodies in the field of Disaster Management to be approved by the National Authority;

The National Plan shall include-

- Measures to be taken for the prevention of disasters, or the mitigation of their effects;
- Measures to be taken for the integration of mitigation measures in the development plans;
- Measures to be taken for preparedness and capacity building to effectively respond to any threatening disaster situations or disaster;
- Role and responsibilities of different Ministries or Departments of the Government of India in respect of measures specified in clauses (a), (b) and (c) as mentioned below under guidelines for minimum standard of relief.

The National Plan shall be reviewed and updated annually.

Appropriate provisions shall be made by the Central Government for financing the measures to be carried out under the National Plan;

Copies of the National Plan referred to above shall be made available to the Ministries or

Departments of the Government of India and such Ministries or Departments (including Railways) shall draw up their own plans in accordance with the National Plan.

Guidelines for minimum standards of relief :

The National Authority shall recommend guidelines for the minimum standards of relief to be provided to persons affected by disaster, which shall include-

a. The minimum requirements to the provided in the relief camps in addition to shelter, food, drinking water, medical cover and sanitation;
b. The special provisions to be made for widows and orphans;
c. Ex gratia assistance on account of loss of life as also assistance on account of damage to houses and for restoration of means of livelihood;
d. Such other relief as may be necessary;

Relief in loan repayment, etc.

The National Authority may, in cases of disasters of severe magnitude recommend relief in repayment of loans or for grant of fresh loans to the persons affected by disaster on such concessional terms as may be appropriate;

Role of the Nodal and other Central Ministries and Departments etc :-

For various types of disasters, the nodal Ministry concerned will chart out detailed Response Plans which will be integrated into the National Response Plan. The NEC may coordinate response in the event of any threatening disaster situation or disaster.

Role of Central Ministries and Departments

As disaster management is a multi-disciplinary process, the National Policy on Disaster Management lays down that all Central Ministries and Departments will have a key role in the field of disaster management. The nodal Ministries and Departments of Government of India (i.e. the Ministries of Agriculture, Atomic Energy, Civil Aviation, Earth Sciences, Environment and Forests, Home Affairs, Health, Mines, Railways, Space, Water Resources etc.) will continue to address specific disasters as assigned to them.

Institutional Arrangements of Central Government

- **Armed Forces :**

Conceptually, the Armed Forces are called upon to assist the civil administration only when the situation is beyond their coping capability. In practice, however, the armed forces form an important part of the Government's response capacity and are immediate responders in all serious disaster situations. On account of their vast potential to meet any adverse challenge, speed of operational response and the resources and capabilities at their disposal, the armed forces have historically played a major role in emergency support functions. These include communication, search and rescue operations, health and medical facilities, and transportation, especially in the immediate aftermath of a disaster. The air and heli-lift and movement of assistance to neighbouring countries primarily fall within the expertise and domain of the armed forces. The armed forces will participate in imparting training to trainers and DM managers, especially in CBRN aspects, heli- insertion, high altitude rescue, watermanship and training of paramedics. At the national level, the Chief of the Integrated Defence Staff and the Chairman Chiefs of Staff Committee has already been included in the NEC. Similarly, at the State and District levels, the local representatives of the armed forces may be included in their executive committees to ensure closer coordination and cohesion.

- **Central Para Military Forces :**

The Central Paramilitary forces, which are also the armed forces of the Union, play a key role at the time of immediate response to disasters. Besides contributing to the NDRF, they will develop adequate disaster management capability within their own forces and respond to disasters which may occur in the areas where they are posted. The local representatives of the CPMFs may be coopted/invited in the executive committee at the State level.

- **State Police Forces and Fire Services :**

The State Police forces and the Fire Services are crucial immediate responders to disasters. The police force will be trained and the Fire Services upgraded to acquire multi-hazard rescue capability.

- **Civil Defence and Home Guards :**

The mandate of the Civil Defence and the Home Guards will be redefined to assign a effective role in the field of disaster management. They will be deployed for community preparedness and public awareness. A culture of voluntary reporting to duty stations in the event of any disasters will be promoted.

- **State Disaster Response Force (SDRF) :**

States will be encouraged to create response capabilities from within their existing resources. To start with, each state may aim at equipping and training one battalion equivalent force. They will also include women members for looking after the needs of women and children. NDRF battalions and their training institutions will assist the States/UTs in this effort. The States/UTs will also be encouraged to include DM training in their respective Police Training Colleges and basic and in service courses, for gazetted and non-gazetted officers.

- **National Disaster Response Force (NDRF)**

The Disaster Management Act has statutory provisions for constitution of National Disaster Response Force (NDRF) for the purpose of specialized response to natural and man-made disasters. Accordingly, in 2006 NDRF was constituted with 8 Battalions. At present, NDRF has strength of 12 Battalions with each Battalion consisting of 1149 personnel. In the beginning, the personnel of NDRF were deployed for routine law and order duties also. In a meeting of the NDMA with the Prime Minister on October 25, 2007, the need of NDRF being made a dedicated force was highlighted and accepted. This led to the notification of NDRF Rules on February 14th , 2008, making NDRF a dedicated force for disaster response related duties, under the unified command of DG NDRF.

Coordination with NDRF

Zonal Railways should get in touch with NDRF offices at the nearby locations to have the first-hand knowledge of the resources available with them and also to familiarize them with railway related disaster situations and expose them to the issues relevant to the rescue and relief of passengers during railway accident. It has also been advised to associate NDRF in full scale exercise that is held once every year. There are no charges for availing the services of NDRF except the rail transportation which railways may provide at their cost for attending to rail disasters. Railways may also have to provide rail transportation logistics for transporting NDRF even in case of non- railway exigencies.

The Railway Board has empowered DRMs/CSOs to directly requisition the relevant NDRF battalion for relief and rescue operations depending on the gravity of situation so that their

Services could be made available expeditiously without any loss of time. During the meeting between NDMA/NDRF and Railway Board officials held on 19th February, 2013, it was decided that each NDRF battalion should carry out at least one or two mock exercises/ coordinating meeting with respective Zonal Railways under their purview every year.

Comments on the Indian Railways Disaster Management Plan by NDMA

NDMA should be involved in annual exercises on DM by Indian Railways for validation of their Zonal DM Plans, a NDMA Plans and conducts more than 100 mock exercises on various types of disasters and has the requisite expertise in creating scenarios and their efficient implementation.

During meeting held on 26th July, 2010 between NDMA/NDRF and Railway Authorities, it was decided that the Railways would be associated in all future mock exercises being conducted by the NDMA and for which a copy of annual calendar of mock exercises will be provided by the NDMA and CSOs will coordinate Zonal Railways participation in such mock exercises. Similarly, Railways will carry out mock exercises on train accidents in presence of NDRF Battalion Commandants.

During the meeting between NDMA/NDRF and Railway Board officials held on 19th February, 2013, it was decided that each NDRF battalion should carry out at least one or two mock exercises/coordinating meeting with respective Zonal Railways under their purview every year.

Disaster Management essentially necessitates a state of preparedness under all circumstances and only conducting periodical full-scale mock drills therein can assess the efficacy of arrangements. As per Bd s letter 2003/Safety (DM)/6/3 dated 13.06.08, Railways may also associate NDRF in full scale exercise held once a year

Preparation of DM Plans on Zonal Railways

Zonal Railways will prepare Disaster Management Plans at HQ and Divisional Levels as per the provision of Disaster Management Act, 2005 as detailed in the earlier chapters and the DM Plan of the Indian Railway (prepared by Railway Board). These Plans will encompass the National Policy of Disaster Management (NPDM) and Guidelines issued by NDMA; as also all types of disasters that can occur on the Railway system. It is reiterated that the High Level Committee on Disaster Management Constituted in 2003 had mainly dealt with the upgradation of Railways relief/rescue facilities to handle train accidents. These are, therefore, only of limited use and relevance in the DM plan now to be framed based on the new concept of a Disaster as given in the DM Act, 2005. The Plans of the Zonal Railways should detail for all types of disasters, the preventive, and mitigation and preparedness measures being taken by the railways and also the rescue, relief and restoration systems in place to meet with them.

NDMA guidelines, instructions issued by the Boards office from time to time and the action plan as framed by the zonal railways will form the backbone of the DM Plans of Zonal Railways. These plans must be dovetailed with the State and District Disaster Management Plans wherever the same have been prepared. Zonal Railways will keep their focus on the developments happening in their local area in the Government, non-govt. and private sector to build on the expertise-based all-inclusive approach as envisaged in the Disaster Management Act, 2005.

For ensuring the uniformity and best possible use of the information, the effort needs to be made to broadly format these plans as under:

- **Divisional Disaster Management Plans** will contain division specific information. It will generally contain divisional action plan for dealing with all types of railway disaster. It not be restricted only to detailed inventory of Railway and non-Railway resources as envisaged in High Level Committee s Report on Disaster Management. It should focus mainly on further new developments of sharing of resources with all stake holders. It should also have, thereafter, divisional specific information like road maps, etc. Information common to all divisions of a Zonal Railway may be replicated uniformly in DM Plans of all divisions of the Zonal Railway. Divisional Specific information need not be contained in headquarter DM Plan.
- **Headquarter level Disaster Management Plans** will have information common to all divisions of Zonal Railway. It will generally contain Railway's action plan for dealing with all types of railway disaster. Action items along with their progress will be detailed for all type railway disasters. Contrary to the divisional Plan this will be more centric towards prevention, mitigation and preparedness than rescue and relief. Information like formation of relief and rescue teams at the accident site, Disaster Management Control Management, Duties of various officers/officials etc. in addition to the information specific to headquarter will be contained in this plan. Information common to all divisions of a Zonal Railway may be replicated uniformly in DM Plans of all divisions of Zonal Railway.

Periodical Review of Disaster Management Plans:

The DM Plans is to be reviewed and updated at least once a year, i.e. January. In the review changes in policy (including the NPDM) issued by NDMA/NEC and by the Central Governments and Railway Board are to be made. The DM Plans of the State Governments and of the Districts need to be gone into periodically and changes incorporated in the respective DM Plans of Zonal Railways/ Divisions. While revising the Divisional and HQ DM Plans, compliance of NDMA comments must be ensured.

Safety Deptt. - Nodal Deptt for Compilation/Updating of DM Plans:-

Safety department on the Zonal Railways is responsible for compilation of DM Plans at HQ and Divisional Levels which also need to be reviewed in January every year These Plans will also to be hosted on the rail-net server of the zonal railways in an interactive format so that the information can be shared and its retrieval is simpler.

ISO certification of DM plans:-

ISO 9000 certification is to be obtained for HQ and Divisional DM Plans.

National Disaster Response and Mitigation Funds :

As per the National Policy on Disaster Management, a National Disaster Response Fund may be constituted as mandated in the Act. The National Response Fund will be applied by the National Executive Committee (NEC) towards meeting the expenses for emergency response, relief and rehabilitation, in accordance with the guidelines laid down by the Central Government in consultation with the NDMA. The proposal of merger of National Calamity Contingency Fund (NCCF) with the National Disaster Response Fund shall be as recommended by the Finance Commission from time to time. Similarly, as mandated by the Act, the National Disaster Mitigation Fund (NDMF) may be created for projects exclusively for the purpose of mitigation. NDMF shall be applied by the NDMA and shall be as recommended by the Finance Commission from time to time.

Modernization of Relief/Rescue during Disasters:

The National Policy on Disaster Management provides that all Central Ministries and Departments of the Central Government and of the States will build capacity to handle different types of Disasters based on guidelines issued by the NDMA. Helicopter based relief rescue missions on par with similar arrangements existing in western world can also be used extensively for Mass Casualty Evacuation and for providing relief where required. For Railways own Disaster situation like a major train accident where the site is not approachable by rail or by other road vehicles this would be the only means of relief. All Zonal Railways may obtain details of Government and Private Helicopter service and the contact numbers of their operators to be contacted in advance.

The Disaster Management Plan of the Zonal Railway and the Divisions should make a mention of the helicopter service providers. If these services are not available on one Zonal Railway, they may contact the nearest Zonal Railway where they are available to be called upon in a Disaster situation. The images of the year 2001 of a crash of an intercity train in Germany, killing more than 100 people, show 35 to 40 helicopters landing and taking off near accident site.

In a similar way the Railway Board had taken the help of the Air Force Helicopters from Jorhat for shifting the seriously injured from the site of a serious passenger train Accident (GyaneswariExpress) from a remote location on Kharagpur Division.

We have to have a total paradigm shift in the manner in which serious train accident relief is to be managed in the second decade of the 21st century. A much more radical approach would be gradually needed to be introduced that what is existing on date.

Sensitive installations of Railways need to be identified. All Zonal Railways need to define sensitive installations and infrastructure. These should be ones which would cripple the Railways primary objective of transportation. For instance, Control Rooms; Microwave Towers; TF Exchanges; RRI of Junction Stations, Major Bridges, Tunnels of long lengths, Hospitals etc. are very sensitive/vulnerable locations.

Crowd control and Management of rush at Railway Stations during festivals:

We should prescribe preventive protocols, when laid down footfalls defined separately for important stations become extraordinarily high, as during Melas or other exceptional situations. It may not be out of place to ban all commercial vending and parcel handling on such occasions, supplement exits if possible, and bring more area under illumination.

It is important to press upon the State Governments to give an approximate indication of the number of persons likely to reach Railway stations in the days when rush is expected. Even more important is the number of such persons reaching each Railway station within a one to two hour time slots. Unless this information is given, it would not be possible for Railways to plan special trains. The OD flows of the Passenger are very important to plan destination wise running of special trains. It may be kept in mind that often the Inward and outward passenger traffic is not equal; there are wide variations. Further the inward rush comes in a staggered and spaced interval; the outward rush goes back at one go. It would be essential for the Zonal Railway or Division to impress upon the State Government (or the District Magistrate) in writing of their peak capacity to clear rush, as also they can do so only direction wise. The District Administration has to regulate and control the entry of more than this number beyond which (in 1-2 hourly slots) the Railway would be unable to evacuate.

Specific defined areas of jurisdiction for crowd control and duties assigned to GRP/RPF and the city Police needs to be placed on record much before the expected days of rush. Close

coordination has to be maintained between the 3 wings of Police/ Protection Force RPF and Civil Police, GRP and RPF) and areas of responsibilities well defined.

The car and other vehicle parking facility at a station where a terrorist strike is expected may be discontinued; sale of Platform Tickets can also be banned for short period of time. RPF and GRP personnel deployed on each platform will monitor crowds and rush build up in the circulating areas, booking windows, station platforms and mainly on the FoBs. Special teams of commercial staff will liase with the RPF/GRP and relay 2/4 hourly position to a centralized location viz. commercial control who will advise the need for running of special trains to specified destination to the operating departments control room.

Terrorist attacks on a freight train carrying inflammables:-

Railways have an excellent liaison with the Oil Companies due to the transport of their commodities viz. Motor Spirit, HSD, Naptha etc. Traditionally we have always made use of their foam extinguishers along with the expertise in fire control available with them. Gradually,

Railways may have to develop both the expertise through training in the Railways Rescue, Relief Training Institute being set up at Bangalore; also procure gradually foam type of fire extinguishers in limited numbers.

Capacity Building to reduce destruction due to earthquakes, floods etc. :-

RDSO has been assigned the task of identifying vulnerable buildings, locations, rail infrastructure including bridges, sensitive location, waterways embankments etc. Based on this, strengthening works would be undertaken by prioritizing essential locations/buildings so as to strengthen Railways infrastructure.

DM Training on Zonal Railways and Divisions

With the enactment of the Disaster Management Act, Indian Railways have also taken several initiatives to revamp Disaster Management training. Presently, training on disaster management of various tiers of railway officials does not envisage newer concepts like integration of disaster management into developmental planning, leveraging on the strengths of other non-railway agencies etc. Till now any training on the subject of Disaster Management implied subjects connected with Train Accidents only. There was no training given for natural calamities or for terrorism related items. With the adoption of this concept the training requirements for Lower, Middle and Higher Management officials of the Railways needs to be re-oriented to cover these concepts. Hence the subjects of Disaster Management are more vast and varied. However, even today some of the Railway staff need is given training only on the older concept, i.e. on limited syllabi of Management of a train accident. Amongst the staff which falls in this category are the frontline staff (and their superiors) either travelling on the train or available on line.

It has also not yet been possible to harness availability and strengths of railway on-board staff who are the first railway responders during a serious train Accident. With this in view, Board have decided to revamp the Training on Disaster Management being imparted to several tiers of railway officials through Railway Training Institutes.

IDRN

IDRN is a nation-wide electronic inventory of resources that enlists equipment and human resources, collated from districts, states and national level line departments and agencies. It is a web based platform, for managing the inventory of equipment, skilled human resources and critical supplies for emergency response. Primary focus of IDRN portal is to enable the decision makers to find answers on availability of equipment and human resources required to combat any emergency situation. This

database will also enable them to assess the level of preparedness for specific disasters.

Golden Hour:

"If a critical trauma patient is not given definite medical care within one hour from the time of accident, chances of his ultimate recovery reduces drastically, even with the best of Medical attention thereafter. This one-hour period is generally known as The Golden Hour."

During this Golden Hour period every effort should be made to:

i. Render definite medical care to the extent possible preferably by qualified medical practitioners.
ii. Stop bleeding and restore Blood Pressure.
iii. Persons under shock should be relieved of shock immediately.
iv. Transport casualties to the nearest hospital so as to reach within this Golden Hour period. For being effective, any Disaster Management system should aim at recovering as manycritical patients as possible and rushing them to hospital within this period.

Disaster Syndrome:

A victim's initial response following a Disaster is in three stages, viz. Shock stage, Suggestible stage and Recovery stage. These initial reasons are called Disaster Syndrome.

i. Shock stage: In which victims are stunned, dazed and apathetic.
ii. Suggestible stage: In which victims tend to be passive but open to suggestions and willing to take directions from rescue workers and others.
iii. Recovery stage: In which individuals may be tense and apprehensive and may show generalized anxiety.

3 Different phases of Disaster Response:

Disaster Response in case of a railway accident consists of 3 phases. These 3 phases are determined both by the time factor, as also by the extent of specialized assistance available. Firstly, it begins with the spontaneous reaction of men available on the train at the time of the accident. Thereafter the second phase continues with contributions made in rescue and relief work by men and material available locally in nearby areas of the accident site. The third and longest phase consists of meticulously planned action by trained DM teams who arrive at the accident site to carry out rescue and relief operations.

The first phase, which is of shortest duration, last for about half an hour. It is an amateurish, poorly equipped effort, but is nevertheless the most important phase. In most cases, this is the only help available for a major part of the 'Golden Hour'.

The second phase which is of 2-3 hrs. duration is comparatively less amateurish and much better equipped. Their contribution is vital since the 'Golden Hour' period comes to an end during the working of this group. How many critically injured passengers can finally be saved depends solely on the efficiency of this group.

The last and final phase of Disaster Response by railway's DM team continues for a few days. It comes to an end not only with the restoration of traffic but also with the departure of most relatives and next of kin from the accident site and disposal of all bodies. Few of the grievously injured that continue to be hospitalised for comparatively longer spells are then the sole responsibility of railway's medical department.

With the above scenario in mind, it is necessary to take firm and quick decisions to save lives and property. To achieve these objectives Railways have a well-defined action plan that is successfully

executed by the coordinated efforts of different disciplines, all of who function as a team. The three groups which are active during the above mentioned 3 phases of Disaster Response, may be classified as follows: -

1. **Instant Action Team (IAT).**
2. **First Responders (FR).**
3. **Disaster Management Team (DMT).**

The comprehensive Disaster Management Plans have been made out and issued at Zonal and Divisional levels. These include telephone numbers of various State Government Authorities, Air force/Army/Navy, National Disaster Response Force Battalions (NDRF), Disaster Management Division (Ministry of Home Affairs), National Disaster Management Authority and other related organisations who can be contacted for necessary assistance. The respective Disaster Management Plans may also be referred for detailed guidance and information in the event of any Disaster.

DISASTER RESPONSE - OFFICERS AT DIVISION & HEAD QUARTER.

(A) GENERAL:

1. Intimation of Accident - Divisional Control Office:

i. In the Divisional Control Office, information regarding an accident is generally received either by the Section Controller or the TPC.

ii. In most cases, the First Information Report also intimates the approximate number of coaches involved and a rough estimate of the likely number of casualties (such as 'heavy casualties expected').

iii. Accidents involving a passenger carrying train where the first information says that heavy casualties are expected, should prima-facie be treated as a Disaster?

iv. The moment information regarding an accident involving a passenger carrying train is received in the divisional control office, the accident bell in the control room should be sounded for alerting all on-duty functionaries.

v. After all on-duty functionaries gather around the section control board they will be briefly informed about the accident.

vi. Each functionary will thereafter resume his position and take steps to set in motion activities required of him.

vii. TPC will switch off OHE in case it has not tripped OHE will not be restored even on adjacent line unless confirmation has been received from site that adjacent line is not obstructed and OHE is alright.

viii. PCR will undertake the following action in the given order of priority:
(a) Give orders to Loco Foreman for sounding the siren for ARMEs and ARTs.
(b) PCR will also order movement of ARME and ART (with 140T crane) from adjoining divisions.
(c) Thereafter he will inform his departmental officers and supervisors.

ix. Dy. CTNL (Punctuality.) will first inform Hospital Casualty. Thereafter he will inform officers and supervisors as given below:

x. Each departmental functionary will inform divisional officers and supervisors of his department about the accident as detailed below:

Functionary	Officers &Supervisors
Dy. CHC (OP).	Operating & Safety.
Dy. CHC(Chg)	Hospital Casualty-DRM / ADRM

Hospital Casualty	Doctors.
TPC	Electrical.
PRC/PCR	Mechanical.
Engg.Control	Engineering.Personnel. Account
Test Room	S&T. Store.
Commercial Control	Commercial, Public Relations
Security Control	RPF.

xi. For this purpose, all functionaries working in the divisional control office will have a ready list of telephone numbers (Railway, BSNL and Mobile) of all officers and supervisors of their departments.

xii. After Dy. CTNL(Punctuality) has informed Hospital Casualty, DRM, ADRM and Medical Doctors, he will then inform Dy. CTNL(Punctuality) or Dy. CTNL(Op) in Hdqrts, Emergency Control regarding the accident.

Divisional Officers required to go to site:

I. All concerned divisional officers required to go to the accident site should proceed by the ARME.

II. Road vehicles should be sent to accident site separately. Maximum number of road vehicles should be sent to accident site from Divisional Hdqrts.

III. ARME shall be despatched within 15" by day and within 20" by night after sounding of siren.

IV. DRM will proceed to the accident site; ADRM shall stay back at divisional Hdqrts. for co-ordination work.

V. All Branch Officers should proceed to the accident site. For this purpose, officers heading different branches within the same department are referred to as Branch Officers. For example, in Electrical department, TRD and 'General' will be considered to be separate branches and both will be required to go to site.

VI. The second senior most officer of each branch should stay back at divisional Hdqrts.

VII. Of the remaining officers from each branch, a majority of both Senior and Junior scale officers should also proceed to the accident site.

VIII. Once it has become clear that the accident is a Disaster, then the 80/20 rule should be followed:
   a) 80% of all officers should go to the accident site, and only 20% should stay back at Hdqrts.
   b) Similarly, 80% of all supervisory staff should go to the accident site, and only20% should stay back at Hdqrts.

IX. The complement of officers available in each department varies from division to division.Hence, Divisional DM Plans should specifically spell out, department wise, designations of officers who will be required to go to site, and those who will be required to stay back in Hdqrts.

X. Divisional DM plans should also spell out the same thing for Supervisors of each department.

XI. Arrangements of Road Vehicles to proceed to accident site, indicating alternative vehicles as well, shall be indicated in Divisional DM Plans.

XII. Arrangements of vehicle drivers including spare drivers shall also be notified.

DISASTER RESPONSE - INSTANT ACTION TEAM

INSTANT ACTION TEAM (IAT)

1. Instant Action Team comprises:
   i. The Guard, Crew, TS, TTEs, AC coach attendant, Asst. Guard, RPF and other railway

staff on duty on the accident involved train.

ii. GRP staff travelling on the train on duty.

iii. Railway staff travelling by the accident involved train either on duty or on leave as passengers.

iv. Doctors travelling by the train.

v. Passengers travelling on the train who volunteer for rescue and relief work.

vi. Railway staffs working at site or available near the site of the accident.

vii. Non-Railway personnel available at or near the accident site.

2. <u>Pre-accident checklist of preparation for Members of Instant Action Team:</u>

i. Generally, about 15" time elapses before information regarding occurrence of an accident reaches the Divisional control office. In case information can be conveyed immediately this time can be saved. This 15" time is of vital importance since it constitutes 25% of the „Golden Hour .

ii. In case they have a mobile, ensure that telephone numbers of all relevant officials such as those of divisional control offices etc. have been permanently fed into the Mobile for immediate use in an emergency.

iii. These important telephone numbers should cover all those sections where they are required to work their train either within their own division or even those of adjoining divisions.

iv. Divisions may get printed and circulate a DM Telephone Directory containing all such telephone numbers that are likely to be required in an emergency.

v. Whenever they are travelling at night they should keep a torch handy and secure it by some means. The torch will be of no use in an emergency if it cannot be taken out from inside the suitcase at that point of time: or if the torch cannot be located since it has fallen off due to severe jerk.

3. <u>Duties of Guard, Loco Pilot ,Assistant Guard, Assistant Loco Pilot, Train Superintendent / Train Ticket Examiner, AC Mechanic / Attendant & RPF /GRP Staff.</u>

Detail duty list of Guard and Loco Pilot are laid down in the Accident Manual of Zonal Railways. Some of the more important ones are enumerated below:

a) GUARD

i. Note the time of the accident and the location.

ii. Switch on the Amber Light, if provided, in Flashing Tail Lamp, in the rear of brake van.

iii. Inform Driver on walkie-talkie set.

iv. Inform Station Master on Walkie-talkie set, if possible.

v. Protect adjacent line/lines if required and the line on which the accident has taken place as per GR 6.03

vi. Secure the train and prevent escaping of vehicles.

vii. Make a quick survey of magnitude of accident and roughly assess casualty, damage and assistance required.

viii. Send information through quickest means to Control Office and SMs on either side of the block section. For this purpose.

- CUG Mobiles / Walkie-talkie communication provided with stations should immediately be used.
- Otherwise field telephone should be used.
- If a train comes on the other line, which is not blocked, the same should be stopped and information sent through the driver.
- Assistant driver or Assistant guard may be sent to the next station to convey information of the accident.

- If all of the above fail, one of the railway staff on duty on the train should be sent on foot to the nearest station.

ix. Utilize Emergency Train Lighting box to facilitate medical aid.
x. Save lives and render First Aid.
xi. Call for Doctors and seek their assistance.
xii. Seek assistance of railway staff and other volunteers from train to rescue injured or entrapped passengers.
xiii. Direct railway staff and other volunteers from train for attending to injured.
xiv. Ensure that railway staffs constantly man field telephone.
xv. Arrange protection of passengers belongings and railway property with the help of railway staff, volunteers on train, RPF and GRP.
xvi. Stop running trains on adjacent line and utilize resources on that train.
xvii. In electrified section if OHE is affected, take steps to switch off OHE supply.
xviii. Arrange for transportation of injured to hospital.
xix. Record evidence or statements, if any, given by passengers.
xx. Preserve all clues and evidences regarding probable cause of the accident and ensure that these do not get disturbed.
xxi. Log activities. Do not leave the spot unless a competent authority relieves him.

b) Loco Pilot

i. Note the time of the accident and location.
ii. Switch ON the „Flasher Light of the locomotive and give 4 short whistles.
iii. Inform Guard on walkie-talkie set.
iv. Inform Station Master on CUG mobile phone / walkie-talkie set, if possible.
v. Protect adjacent line, if required, and the train in front as per GR 6.03.
vi. Take necessary action to keep the loco safe.
vii. Take necessary action to prevent Loco/Vehicles/Wagons from rolling down.
viii. Make a quick survey of magnitude of accident and roughly assess casualty, damage and assistance required.
ix. Send information through quickest means to Control Office and SMs on either side of the block section.
x. Render all possible assistance to the guard.
xi. Preserve all clues and evidence regarding probable cause of the accident and ensure that these do not get disturbed.
xii. Log activities; do not leave the spot unless relieved by a competent authority.
xiii. If necessary detach Loco and take it to inform SM.

c) Assistant Loco Pilot:

i. Assistant Loco Pilot should work under the control of the Loco Pilot with the same duty list of the Loco Pilot. Loco Pilot and Assistant Loco Pilot should divide the work so that the duties are carried out in the shortest possible time.
ii. The Assit. Loco Pilot will follow instructions given to him by Loco Pilot.
iii. To provide First Aid to injured. First Aid box is available with Guard.
iv. If necessary use fire extinguishers, which are available in Ac coaches, with Guard and Loco Pilot.
v. In case if the Loco Pilot is dead or injured, Asst. Loco Pilot will perform all the duties of Loco Pilot mentioned in para 3(b)
vi.

d) **Train Superintendent / Travelling Ticket Examiners**:

i. Preserve reservation charts of each coach containing names of passengers who actually travelled and in which berth no.
ii. Avail services of Doctors travelling by the train and render Medical Aid.

iii. Render First Aid to injured.
iv. Collect particulars of injured passengers and prepare a list showing exact position of injured in coaches, from Train Engine to Brake Van. This should be handed over to railway doctors when ARME arrives.
v. Prepare a separate list of dead passengers with address and ticket particulars, if available.
vi. Take assistance of local people and other volunteers at site.
vii. Transport injured passengers by road vehicles, if available, to the nearest hospital.
viii. Inform stranded passengers about alternative transport arrangement.
ix. Record Evidences or statement given by passengers / other at site.

e) AC Mechanic / Attendant

i. Switch off the power supply to avoid short-circuiting.
ii. Assist the TS/TTEs in their duties at the accident site.
iii. Report to the guard of the train for assistance.
iv. In case of fire assist the operations by using fire extinguishers provided in the AC coaches.
v. Assist in providing lighting in affected coaches.
vi. Blankets and linen of the AC coaches is to be made available for use by grievously injured/dead. The record of the same should be kept.

f) RPF/GRP Staff

i. Try and rescue as many passengers as possible from the accident involved coaches.
ii. Render First Aid to injured.
iii. Arrange to shift injured persons to the nearest hospital.
iv. Protect passenger's luggage and railway property.
v. Preserve all clues and evidences regarding probable cause of the accident and ensure that these do not get disturbed.

4. Railway staff travelling on the accident affected train:

i. Whenever a train is involved in a serious accident with casualties/injuries to passengers, all railway staff travelling on the train either on duty or on leave are deemed to be on duty with immediate effect.
ii. Under no circumstances should any of them leave the accident site unless and until divisional officers arrive, take over charge of rescue and relief operations, and permit them to leave.
iii. Railway staff on train/at site shall volunteer themselves to render assistance and report to TS/TTE/Guard of the Train.
iv. The senior most officers travelling on the train will assume charge as Officer-in-Charge Site (OC Site).
v. Normally the senior most officers will be travelling in either the 1AC or in 2AC coach, and most probably in the Emergency Quota section of the coach. In any case the TS/TTE would know whom are the railway officers travelling in 1AC or 2AC.
vi. Similarly, other railway staff will be travelling in 3AC coach, and most probably in the Emergency Quota section of the coach.
vii. Similarly, some Group "D railway staff may be travelling in Sleeper coach, and probably in the Emergency Quota section of the coach.
viii. In the absence of any officer, the TS or senior most TTE/Guard will discharge duties listed out for OC site.

5. Duties of OC Site - Immediately after the accident:

i. Note down the time of accident.
ii. Ensure protection of traffic by Guard and Driver.
iii. Ensure reporting of accident to nearest Station/Control.
iv. Roughly assess the extent of damage and likely number of casualties.
v. Collect railway staff and volunteers from amongst the passengers and form different groups. Each of these groups should be assigned work as detailed at item 6 below.
vi. Maintain a log of events.
vii. Till Divisional Officers arrive and take over charge of the situation, continue to discharge duties of OC site.
viii. After Divisional Officers arrive, fully brief the DRM and hand over charge to him.
ix. The on-board OC site should ensure issue of a detailed message with following information before leaving the site of the accident.
- Time/Date of accident.
- Location Km./between stations.
- Train number and description.
- Nature of accident.
- Approximate number of killed/injured.
- Extent of damage.
- Assistance required.
- Condition of the adjacent line, if any.
- Whether OHE is involved.
- From here onwards, the DRM of the accident involved division takes over Charge as OC site.

6. <u>Formation of Groups comprising members of Instant Action Team</u>:

i. OC Site shall immediately collect all Railway staff on train/at site and form separate groups.
ii. Passengers travelling by the same train that volunteer for rescue and relief work should also be drafted into these groups.
iii. Passengers from accident-involved coaches should be directed toward their own coach.
iv. Passengers from coaches, which are not affected, can be distributed amongst other accident-involved coaches.
v. In the absence of OC site, TS/TTE shall take steps to form such groups.
vi. In the absence of TS/TTE the Guard/Assistant Guard shall take steps to form such groups.
vii. 5 or 6 groups should be formed depending on number of coaches involved.
viii. Ideally, one group should be formed for handling each coach.
ix. In case sufficient numbers of officers are present, then one officer should be made in charge of each group.
x. Otherwise, Sr. Supervisors travelling by the accident-involved train should be nominated as in-charge of each group to co-ordinate its working.
xi. In case sufficient numbers of Sr. Supervisors are also not present, one TTE should be nominated as in-charge of each group to co-ordinate its working.
xii. Each group should rescue injured, entrapped passengers.

7. <u>Duties of on board railway staff immediately after the accident:</u>

i. Don't panic. Once the accident has already occurred and the train has come to a standstill nothing worse can happen.
ii. In case you have a Mobile and it is working, inform the divisional control office

immediately about the accident.

iii. Observe the position in which your coach has stopped, whether it is standing upright or turned upside down or lying on its side.

iv. Try and see whether your coach has stopped on a bridge or whether there is level ground on both sides.

v. In case the coach is on a bridge or very high embankment or in case it is raining heavily, then it is better to wait for some time and not be in a hurry to leave the coach. You may be jumping from the frying pan into the fire.

vi. Search your coach with your torch and try to determine the general position.

vii. See that passengers don't panic either. Passengers sometimes make things worse for themselves by panicking at this critical moment. Try to calm them and build up their confidence.

viii. Ascertain whether passengers are injured or not, and whether any of them are trapped or pinned down inside the debris.

ix. Call out aloud and find out whether there are any doctors present.

x. Doctors who are travelling in the coach should be asked to announce their presence so that they can attend to and help injured passengers.

xi. Call out aloud and find out whether there are any railway staffs present.

xii. Railway staffs that are travelling in the coach should be asked to announce their presence so that they can attend to and help other passengers.

xiii. For each coach, form a core team comprising of railway staff available, doctors and 3 or 4 uninjured passengers from the same coach. This core team should take the lead in helping remaining passengers both injured and uninjured.

8. <u>Duties of members of Instant Action Team - Till arrival of Divisional Officers</u>

i. If a person is bleeding and loosing blood, or if he is unconscious, then in that case you have to act quickly. "Golden Hour" should be kept in mind. You may have at the most only one hour's time on hand.

ii. In such cases, immediately administer First Aid to the injured passenger and try and stop further loss of blood.

iii. Persons trained in first aid may do "Cardio Pulmonary Resuscitation." This may save several lives.

iv. If the door is open and is accessible, then uninjured passengers should be helped to come out from the door.

v. In AC coaches the windows panes should be broken open in order to let in fresh air for the occupants, and thereafter to evacuate them.

vi. Non-AC coaches have one emergency exit window on each side. The position of this emergency window is 5th from the left when facing the line of windows from inside the coach. They are opposite berth nos. 23 and 57. In case the door is locked and jammed, try and open these windows so that some of the uninjured passengers can come out through the emergency exit.

vii. Special care should be taken while evacuating the old, infirm and children in order to ensure that they are not separated from their family members.

viii. Extrication of critically injured should be done under medical supervision as far as possible.

ix. In case medical supervision is not available, then critically injured passengers should be made to lie down on a bed sheet and thereafter taken out by 4 persons holding the four corners. This will ensure that no further damage takes place (Bed sheets will be available in AC coaches)

x. Passengers who are bleeding from open cuts should be tied up with strips of cloth so

as to reduce if not stop the bleeding altogether.

xi. It is better not to take out the luggage from inside the coaches at the first instance, for two reasons. Firstly, passengers both injured and uninjured should get preference in this evacuation process. Secondly, it may be safer for the luggage to be left inside where there are fewer chances of their being stolen or pilfered.

xii. After passengers have been evacuated from your coach, cross cheek with the reservation chart and against the name of each passenger note down as to whether he / she is injured or not.

xiii. After all passengers have been evacuated; water and eatables can be taken out gradually.

xiv. Building up confidence of injured passengers by suitable advice is of great importance.

xv. After helping evacuate all passengers from your coach go over to the unreserved coaches and provide similar help to those passengers also.

xvi. Railway officials from divisional Headquarters generally arrive at the site of the accident within 2 to 3 hours, depending on the distance of the accident site from the divisional Headquarters. Wait for them to come and make further arrangements.

xvii. Grievously injured passengers who are bleeding or those who are unconscious require immediate hospitalisation. In case some local people have arrived by that time, their help should be taken in shifting the grievously injured to the nearest hospital.

xviii. In case your train has been involved in an accident but neither has not your coach derailed nor any passengers of your coach injured, then you should go to the unreserved coaches and carry out the duties as listed above.

9. <u>Duties of the Instant Action Team - In case of a fire:</u>

i. In case of fire pull the Alarm Chain and stop the train immediately.

ii. Try and put out the fire before it becomes a big blaze by using either water or blankets etc.

iii. More people expire due to suffocation from smoke rather than due to actual burning.

iv. Advise passengers to take a cloth, wet it in their drinking water and cover their nostrils.

v. Instruct passengers to go to the other end of the coach, which is away from the fire, and if possible cross over to the next coach through the vestibule.

vi. Insist that passengers should save themselves first and not to bother about their luggage which can be retrieved later on.

vii. Make sure that no passenger lies down on the floor.

viii. After train has stopped, passengers should come down from the coach immediately.

ix. Building up confidence of injured passengers by suitable advice is of great importance.

10. <u>Duties of OC site - till arrival of divisional officers:</u>

Having formed different groups consisting of available railway staff on the train and volunteers from amongst passengers, the rescue and relief work should be got started in right earnest. This entire exercise would take about 30" time. Once the rescue and relief work by the Instant Action Team has got underway, the OC site should then devote his attention to contacting First Responders.

(A) <u>Locating nearby villages:</u>

i. There would be some villages nearby, either visible or out of sight.

ii. In most cases, villagers turn up on their own having heard the sound of the disaster.

iii. Otherwise, try and see if any light or any other signs from the village are

visible.

iv. In case none of the above is possible, then speak to either the control office or the nearest station and find out the location of nearby villages as also their general direction.

v. Location of nearby villages as also their general direction will be available in the Divisional DM Plans.

vi. Having ascertained the general location of nearby villages, send messengers (preferably railway staff) to inform villagers and seek their assistance.

(B) Locating the nearest manned level crossing gate:

i. The train driver is the best and fastest source of information regarding location of the nearest manned level crossing gate in either direction.

ii. Send a messenger (preferably a railway staff) to the gate for contacting the gateman.

iii. In most cases, the gateman will be able to give location of nearby villages.

iv. The messenger should then try and stop a passing vehicle and go to the nearly village, inform villagers and seek their assistance.

(C) Organizing assistance from local people available in nearby villages:

i. Villagers should be asked to make an announcement from their loud speaker (generally available in the local temple, mosque, Gurudwara, church etc.) informing others regarding the accidents.

ii. Everybody should be asked to rush to the accident site with following:
- Tractor trolleys (both for transportation as also for general lighting).
- As many cutting implements, hammers, chisels etc. as are available.
- Ropes,
- Ladders,

iii. If doctors or Para-medical staffs are available in the village they should also be sent to the accident site.

iv. The messenger should stay back and try and organize opening of a big building (preferably a school) for sheltering of injured passengers and/or preservation of dead bodies.

DISASTER RESPONSE - FIRST RESPONDERS

(A) Role of First Responders - Local people:

(1) At accident site:

i. Tractors, which arrive, should be lined up in a row facing the track with their headlights switched ON for illuminating the accident site.

ii. Tractors should be so spaced out that they illuminate the entire length of the accident site. Such spacing would also depend on number of tractors that have arrived.

iii. Rescue and relief work should now be mounted under the available light.

iv. Villagers arriving for rescue and relief work should be formed into separate groups for handling individual coaches.

v. Group leaders of IAT who were earlier conducting rescue and relief work should co-ordinate with the local people and guide them.

vi. Grievously injured passengers extricated from coaches should be sent to the nearest hospitals in tractor trolleys.

vii. Passengers who have suffered trivial injuries and uninjured passengers should stay

back at accident site and wait for arrival of railways DM team who would take charge of them.

viii. As a thumb rule, any injury requiring hospitalisation of more than 48 hrs. is grievous, hospitalisation of less than 48 hrs. is simple, and any injury not requiring hospitalisation at all is trivial.

ix. The following priority should be adhered to while sending such grievously injured passengers:
- Unconscious,
- Bleeding excessively,
- Having breathing problems,
- Grievously injured,
- In a state of shock,
- Having fractures,
- Simple injury,

x. Dead bodies, if extricated should be kept alongside the coach but away from the track for proper tagging etc. before being dispatched for preservation.

xi. Bodies should be kept in separate lots, coach wise, so that they do not get mixed up.

xii. Tagging of dead bodies should indicate the coach number and also the cabin number, if possible, (For example NCR 98127, cabin number containing berths 9-16).

(2) <u>In villages/towns</u>:

i. A big building, preferably a school building should be got vacated and made ready for keeping of dead bodies and unclaimed luggage of passengers.

ii. They should be asked to bring the following to the accident site for train passengers:
- Tea and refreshments,
- Warm clothing, if required.

iii. Look after injured passengers who have been taken to the village.

iv. Take injured passengers to the nearest hospital by means of any transport available. For this purpose, apart from tractor trolleys, even trucks passing on the highway can be utilized.

<u>Duties of Commercial Officials:-</u>

a) Ensure that adequate arrangements have been made for refreshments and drinking water for passengers-injured, uninjured and stranded.
b) Arrange for prompt transport of the stranded passengers.
c) Look after the comforts of the passengers.
d) Arrange for evidence of passengers and other witness to be collected/ recorded.
e) Assist RPF in railway security duties.
f) Note down particulars of persons given first aid/ medical aid.
g) Ensure that adequate arrangements have been made for illuminating the accident/ transhipment area and for adequate number of licensed porter/ vendors.
h) Arrange adequate labour for unloading affected wagons, parcels/ luggage where necessary.
i) Arrange to have the consignments lifted from the site of accident for despatch to the destination subsequently.
j) Ensure that refreshments sent are supplied to the injured and stranded passengers free of charge. Nominate an official as in charge of distribution
k) Have the belongings of the injured and dead collected and list of each item with distinguishing marks made through services of licensed porters and Ticket Collectors.
l) Compile with the assistance of Reporters or other staff complete list of injured and dead, which should be signed by responsible police official.
m) See that the Railway Doctor is assisted by licensed porters and other staff in attending to the

injured.

n) Make over the dead bodies to the police for disposal.
o) Arrange for particulars of damaged consignments to be noted.
p) Keep the Officer in charge in the control office informed.
q) Arrange Ex-gratia payment as per rules.
r) Prompt information to the public.

Duties of Divisional Commercial Manager :-

a) Proceed to the site of accident by first means.
b) Ensure that drinking water, tea and snacks are promptly supplied.
c) Take charge of the custody of luggage of the injured persons.
d) Luggage of the dead passengers should be deposited with the Railway Police after proper records and acknowledgement.
e) Issue advice to the next of kin of the injured and dead and also furnish details to control office.
f) Arrange for Ticket collectors, Porters and Vendors.
g) Arrange for ex-gratia payment as per rules.
h) Arrange for refunds to the passengers.
i) Assist the stranded passengers during transhipment.
j) Arrange to open enquiry offices.
k) Arrange inventory of the parcels damaged and advise the CCO.
l) Arrange buses for stranded passengers and keep record of the buses destination wise with the number of passengers.
m) Provide the Railway doctors with assistance of Ticket collectors/ Porters. Compile the figures of injured and dead from all sources.
n) Issue advice to the Control Office/ Stations for issue of free passes to the next of kin of the dead and injured.
o) Keep in touch with the progress of patients in hospitals and increase the ex-gratia payment suitably in case simple injuries turn grievous or patients paid ex-gratia payment for grievous injuries later on die in the hospital.

Duties of Second Commercial Officer (DCM or ACM) who should be available in control Office:

a) Send sufficient Ticket Collectors, Porters, and RPF to the site.
b) Arrange drinking water, tea snacks quickly.
c) Arrange for refund at important stations.
d) Issue press handouts after prior approval of the DRM.
e) Open Enquiry offices with proper staff at important stations.
f) Arrange for buses if required.
g) Arrange for reservation of stranded passengers by advising the stations concerned and CCM(PM) where Other Railways/ Divisions are involved.
h) Arrange for labour for loading and unloading of luggage, parcels & goods.

Duties of senior most officer present in control office:-

a) ARME and ART and material trains reach the site expeditiously.
b) Arrangement is made for stand-by crane at site; additional cranes etc. to be sent, if required, expeditiously.
c) Ensure that the train for transhipment of stranded passengers reaches the site quickly and goes through to the destination fast.
d) Arrangement for additional doctors to be sent to site along with road transport required therefore (and for ambulances if so required). They should also arrange for transport of the injured passengers on arrival of ARME / relief train at the station to the hospital.
e) Obtain information and convey to Zonal Headquarters on the various details regarding injured

persons, dead persons, arrangement for stranded passengers and other information required.

f) Set up booths for information at the Divisional Headquarters Railway Station as well as at the stations on either side of the accident site to be manned by a Senior Subordinate.
g) Arrangement for sending food, water, etc. as required at the site along with means of transporting them. (If necessary, a departmental pantry car with all raw materials for making food along with fuel may be sent).
h) Arrangement may be made for road transport for various purposes, if necessary, by hiring.
i) Arrange for tents and any other materials that may be required for taking care of the passengers at site.
j) Keeping a touch with officer-in-charge at the site of accident to obtain any assistance and making arrangements for it.
k) Keeping neighbouring Divisions informed regarding regulation of trains.
l) Maintain liaison with State Government and other agencies for relief / rescue operations and briefing them whenever necessary.

Duties of Operating Department

Duties of Chief Train Controllers/ Dy.Chief Train Controllers:-

(A) Movement of trains:

i. Stop movement of trains in the affected section on double line and in both the directions on single line.
ii. Check from site/ station if adjacent line/ lines fouled or otherwise.

(B) Collection of information and Reporting:

i. Open a register in which all items are to be logged.
ii. Collect relevant information in the register and report to all concerned from time to time.

(C) Ordering of Relief Trains and Medical Relief Vans:

i. Immediately order ARME/ ART whenever trains become overdue or required otherwise.
ii. In case of an accident involving a passenger carrying train or an accident involving a road vehicle at a level crossing, invariably order the Medical Relief train irrespective of the information received or otherwise about casualties.
iii. Advise Railway Headquarters giving full details of the accident.
iv. Obtain regular information from site and advise Headquarters.
v. Advise RMS authorities if Mail carrying train involved.

(D) Medical Relief:

i. Advise immediately civil, Military and public hospitals and medical officers in the area and arrange for doctors, medical equipment and ambulances from nearby stations.
ii. Make arrangements for the transport of Railway doctors to the site immediately, if necessary by engaging road vehicles.
iii. Obtain the names of the injured/ dead passengers with full particulars and pass on the same to the Railway Headquarters.
iv. Arrange to relay the names of the injured/ dead to the important stations/ Junction stations on the section.
v. Attend to enquiries from general public regarding the accident, the names of the injured etc. promptly and courteously.

(E) Regulation and diversion of trains:

i. Arrange to regulate all passenger-carrying trains, which are nearer to the accident site at convenient stations, preferably junction stations where catering facilities, drinking water etc.

are available.

ii. Arrange to draw out the unaffected portion of the train involved in the accident immediately to nearby convenient station where catering/ drinking water facilities are available in consultation with the DRM or the Sr. DOM/ DOM etc.

iii. Obtain realistic forecast of restoration. Arrange diversion of long distance trains, if necessary, keeping in view the time required for restoration of line/ lines in consultation with Headquarters and plan for resumption of passenger trains and ordering goods trains

(F) Information to Public:

i. Ensure that information counters/ booths are opened at the accident site as also at other important stations/ enroute adjoining Railway for giving the information to the general public.

ii. Ensure frequent announcement through the public address system/ manuscript notices regarding arrangements.

(A) Advise Civil authorities, Supdt. of Police, GRP within whose jurisdiction the accident has occurred.

(B) Advise RPF for arranging protection of Railway and public property.

Duties of Divisional Operations Manager :-

a) Ensure that ARME and ART reach the site without delay.

b) Plan for trains for prompt transport of stranded passengers at site and clearance of passengers held up at other stations.

c) Plan for regulation of Passenger, Mail/ Express trains, cancellation, diversion, termination short of destination in consultation with HQ.

d) Check that information regarding passengers, dead, injured (grievous and simple) is verified by Railway Doctor and approved by senior most officer at the site.

e) Details of the dead, injured-sustaining grievous or simple injury, their originating and destination station, ticket No. Hospitals to which sent for treatment and also particulars of next kith and kin to be obtained from the site and relayed to Emergency Control, CSO etc.

f) See that chronological log of all items of information and action taken connected directly or indirectly with accident is maintained properly.

g) Keep liaison with adjacent Divisions, Site and Headquarters.

Duties of Divisional Safety Officer :-

i. Proceed to the site of accident by first available means.

ii. Preserve the clues.

iii. Ensure that front and rear portions are cleared from the site.

iv. Ensure marshalling of the crane before the ART reaches site.

v. Ensure joint measurements etc. in prescribed proforma.

vi. Ensure evidence of train staff, station staff and public is taken on the spot. Addresses of passengers, who are willing to give statements later, should also be obtained.

vii. The required vehicles are kept for enquiry as per rules.

viii. Plan for efficient movement of ART, engine, tower wagon, etc. between site and station for quicker restoration.

ix. Ensure that the log diary at the site is maintained properly with details and that the Field telephone is manned.

x. Produce public witnesses and advise S.P. and DM in time, issue press notification in local press when advised by CSO, in case of CRS Enquiry.

Duties of Power Controller/ Traction Loco Controller :-

i. Arrange power and crew for Medical Van and ART.
ii. Ensure ARME and ART is turned out within the Scheduled time.
iii. Also inform the Mechanical/ Electrical Officers.
iv. Advise adjacent Divisions for ARTs and inform the CRSE/CMPE etc.
v. Plan for additional powers and crews in consultation with CTNL.
vi. Obtain bio-data of running staff involved in accident and arrange for breathalyser test at the earliest possible.
vii. Co-ordinate with the Dy. Chief Controller so that the necessary locomotive, Loco Pilot, fitters and other technicians reach the site of accident promptly as required.

Duties of Traction Power Controller:-

a) Ensure that the Electric Power Supply is cut off from the section if the overhead equipment involved and/ or where crane working has become necessary according to the circumstances.
b) Ensure that all the necessary arrangements have been made for despatch of electrical staff and equipment required at the site of accident and that the Electric traction bogies of the relief train also reach the site with the relief train or in advance of relief train where necessary.
c) Co-ordinate with Divisional Electrical Engineer (Traction distribution), Dy. Chief Controller and Traction Supervisors concerned for regulation and relief measures.

Duties of Divisional Mechanical Engineer (Loco)/(Diesel)/(C&W):-

a) Proceed to the site of accident.
b) Supervise working of cranes and clearance/ rescue operation.
c) Ensure that Speedo-graphs, engine repair Books etc. are seized/ sealed.
d) Note down observations, make arrangements to record measurements if loco is involved in accident. If it is not possible for all types of measurement to be taken on the spot then these should be taken in the shed. All relevant records should be sealed in shed.
e) Record the details regarding brake power and other aspects of Rolling stock as per prescribed proforma.
f) Have the joint measurements of the rolling stock taken.
g) Check the fitness of the stock supposed to move from the site.
h) Assist in clearance/ rescue operation.

Duties of Divisional Electrical Engineer (Power) :-

a) Ensure the proper lighting arrangements are provided at the site.
b) In case of fire in coaches, arrange immediately to collect/ record evidence of passengers.
c) Jointly examine the coach to ascertain the cause and damage.

Duties of Divisional Electrical Engineer (Traction Distribution) :-

a) Arrange for adequate number of OHE breakdown staff, tower wagons and proceed to the site of accident by the quickest available means.
b) Depute officer/ Supervisor in Control office.
c) Ensure that OHE is made dead and OHE is slewed as required.
d) Arrange and supervise restoration of OHE, expeditiously.
e) Record all relevant information concerning the accident.

Duties of Division Electrical Engineer (TRO/ TRS) : -

a) Where EMU or Electrical Locomotive is involved, call the relief train, if required, with adequate number of breakdown staff and proceed to the site by quickest available means.
b) Depute officer in the control office.
c) Note down joint observation regarding the loco/ EMU/MEMU.
d) Ensure that measurements of the loco/ EMU/MEMU are taken on the spot/ wherever possible otherwise in Car/ Loco shed.
e) Ensure that records for maintenance of engine/ EMU/MEMU repairs are sealed in the shed.
f) Ensure prompt and sufficient arrangements for clearing the line.

Duties of Section Engineer (P.Way)/ P. Way staff:-

a) Immediately proceed to site of accident.
b) Protect the track.
c) Arrange adequate labour with tools and track materials as required. At night arrange adequate number of petromax/ lamps/ portable Electric generators.
d) Record Joint observation/ measurements of track C&W, S&T Gears, Points and Crossings etc. Prepare detailed sketch.
e) Preserve all clues of accident.
f) Depute labour for unloading of wagons if required.

Duties of Divisional Engineer :-

a) Proceed to the site.
b) Ensure joint measurements are taken and sketches of the accident site are accurately drawn out.
c) Ensure collection of adequate labour and material and their proper deployment for speedy restoration.
d) Depute one Sr. DEN/ DEN/ AEN in control Office for planning, reinforcement of labour, material and staff.
e) Ensure that inspection notes and diary of AEN, SE (P.way), gang charts, maintenance records etc., are seized and secured.
f) Assist other Departments in clearance of line and ensure that track is rendered fit and certified at the earliest.

Duties of Divisional Signal and Telecom Engineer :-

a) Proceed to site of accident. Ensure that portable control telephones or the field telephonesare fitted at the site of the accident promptly and manned continuously
b) Establish communication between the site and Division/HQ Office
c) It is to be ensure that the facility of Internet and Data communication from the site of accident and facility of video transmission rather than video conferencing may be provided through Railways own V-SAT hub and small V-SAT terminal at all Divisional ARTs. This system should have video equipments with necessary interfaces for extending the communication from the site of accident to Divisional/ Zonal headquarters on Copper/ OFC cables. The system should have necessary interface for connection laptop/ computer for data transmission and Internet access.
d) In case of passenger train accident, to meet the needs of stranded passengers a procedure may be evolved by the S&T department in the division to rush a few cell phone if necessary, even by road, from Divisional headquarter/ important station, to the station site having cell phone connectivity.
e) Ensure provision of WLL exchange in ART and Divisional headquarter office of the Railway.
f) Ensure that a detailed record is made of all evidence bearing on the accident so far as S & T and interlocking are concerned.

g) Preserve clues and seal the relevant equipment if required.
h) Restore the signalling and interlocking for normal working immediately.

Duties of Divisional Security Commissioner (RPF) :-

a) Post adequate number of RPF staff at the site of accident and at any other place where assistance from his department may be required.
b) Proceed to the site by the quickest available means.
c) Liaison with the local police at site.
d) Ensure security of passengers' belonging and security of parcels, damaged goods and parcels vans etc.

Duties of Divisional Personnel Officer :-

If required by the Divisional Railway Manager depute welfare Inspectors to assist the Medical Officer in taking down the names/ and addresses of the dead and injured and in shifting them to the hospital. Ensure that complementary passes are issued promptly.

Duties of Divisional Railway Manager :-

a) Ensure that proper assistance is rendered by each department.
b) Ensure that in addition to one vehicle available in Control Office round the clock, sufficient number of vehicles are available along with particulars of the road vehicle drivers.
c) Immediately decide which officer should go by road/ ART/ ARME.
d) Nominate the officer to man Control Office.
e) Depute ADRM as incharge in Control Office if proceeding to the site.
f) Arrange to advise the Home Secretary/ Chief Secretary or other Officers of the state in case of sabotage for prompt attendance of the S. P.
g) Function as the senior most officer and as "Accident Manager'.
h) Arrange a preliminary enquiry by Divisional Officers, in cases where an enquiry by the CRS/ SAG Officers is to be held but immediate investigation of certain matters is necessary.
i) Appoint two officers as reporters of serious accidents.
j) Arrange for taking joint observation/ reading by supervisors.

Duties of the Officer in-charge at the site of Accident :-

a) Arrange constant manning of the portable telephone.
b) Ensure necessary protection of adjacent line(s) and the affected train.
c) Make a quick assessment and relay information regularly.
d) Ensure arrangements for rendering first aid at the site, transporting injured to the nearest dispensary/ hospital etc.
e) Arrangements to look after the bodies of the dead, if any, identification of the bodies, transporting the dead bodies to the nearest stations, advise Police etc.
f) Arrangements for transporting stranded passengers preferably to Stations, where drinking water, catering arrangements, etc. are available. Depute commercial officer to assist them.
g) If clues are preserved and noted, arrange clearance of the unaffected portion of the train to facilitate closer arrival of ART, cranes, etc.
h) If sabotage suspected, advise DIG/ SP and await their clearance.
i) Ensure adequate security and protection of the area.
j) Depute Officers and/ or staff for specific duties in rescue operations; preservation of clues and Transhipment work.
k) Arrange for early issue of telephonic/ telegraphic advice of the accident to all concerned.
l) Arrange for the opening of Enquiry Booths at convenient points.
m) Record relevant information in the form of an accident log.
n) Arrange through liaison with the Divisional Control Office and Headquarters for transhipment

of trains, diversion of trains, restriction of traffic, running of duplicate trains, if necessary.

o) Keep the Control Office informed of the progress of clearing operations.
p) Work out the damaged vehicles from the site promptly after being certified fit to be moved out.
q) Ensure adequate lighting of the area in case of night or darkness.
r) Arrange for speedy ex-gratia payment as per extant rules.
s) Timely arrangements for staff meals where required or permitted.
t) Arrange labour for unloading where necessary.
u) Ensure that Commercial staff take down particulars of loaded wagons and consignments.
v) Ensure that ART/ARME & Railway Staff wear Distinctive Arm Bands and Luminous Jackets

Message from the Senior Most Officer at site :-

The Senior-most officer at the site must give regular feed back to the Divisional Control for the information of the GM, and other PHODs in the form of proper telephonic messages which shall be recorded in the log books at site, in Divisional Control Office and in the Head Quarter Emergency Control to avoid any confusion/ discrepancy. Wherever possible the senior most Officer at site should personally contact the Divisional Officers and Officers of Railway Headquarter on phone and brief them. The message should indicate:

A. Prima facie cause of accident
B. Approximate extent and cost of damage to Railway property
C. Number of injured/ dead
D. Relief arrangements made
E. Progress of restoration work
F. Probable time of restoration, and
G. Assistance required if any.

**********The End**********

USE OF IT ON RAILWAYS

IT Act & Cyber Security

Scheme Of Presentation

- IT Act- Motto , Objectives
- Jurisdiction
- Relevant Amendments In Other Laws
- Investigation, Judicial Authorities
- Social Media & IT Act
- Issues In Cyber Space

IT Act, 2000 - MOTTO

Creating Trust in Electronic Environment



Objectives of the IT Act

To provide legal recognition for transactions:-

- Carried out by means of electronic data interchange, and other means of electronic communication, commonly referred to as "electronic commerce"
- To facilitate electronic filing of documents with Government agencies and E-Payments
- To amend the Indian Penal Code, Indian Evidence Act,1872, the Banker's Books Evidence Act 1891,Reserve Bank of India Act ,1934

JURISDICTION
Extent of application

- Extends to whole of India and also applies to offence or contravention committed outside India by any person irrespective of his nationality, if such act involves a computer, computer system or network located in India
- section 1 (2) read with Section 75

Amendments-
Indian Evidence Act 1872

- Section 3 of the Evidence Act amended to take care of admissibility of Electronic Records (ER) as evidence along with the paper based records as part of the documents which can be produced before the court for inspection.

Amendments- The Indian Penal Code, 1860

- The Indian Penal Code was amended by inserting the word 'electronic' thereby treating the electronic records and documents on a par with physical records and documents.
- The Sections dealing with false entry in a record or false document etc (e.g. 192, 204, 463, 464, 464, 468 to 470, 471, 474, 476 etc) have since been amended as 'electronic record and electronic document' thereby bringing within the ambit of IPC.

Civil Wrongs under IT Act

Investigation by

ADJUDICATING OFFICER – normally IT Secretary of State.

Appeal to Cyber Appellate Tribunal

Powers of a civil court

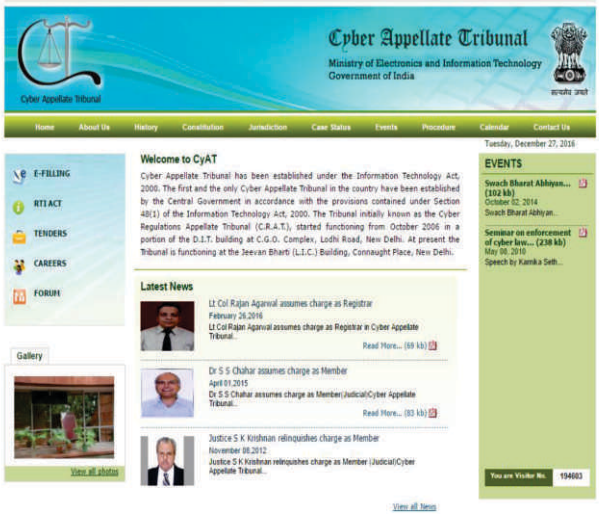
For claims upto Rs 5 crore to the affected party (Jurisdiction)

Beyond that court. (sec 46 (1A)

Adjudication and Cyber Appellate Tribunal - Sections 46 and thereafter

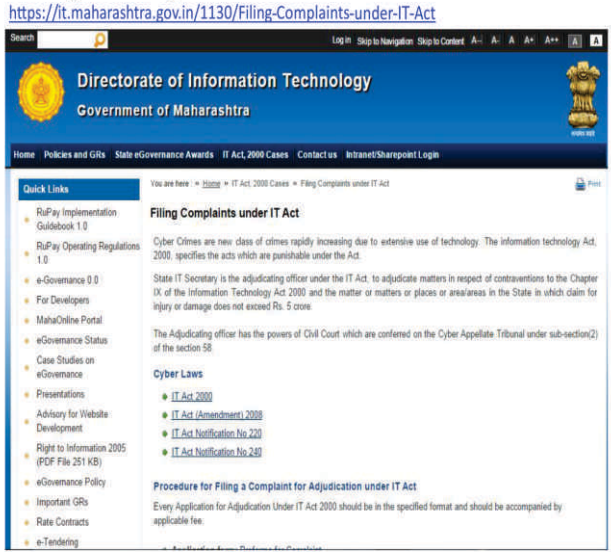
- http://cyatindia.gov.in/
- The Central Government may appoint any officer not below the rank of a director to the Government of India or equivalent officer of a state Government as the adjudicator.
- The I.T. Secretary in any state is normally the nominated Adjudicator for all civil offences arising out of data thefts and resultant losses in the particular state.
  - https://dst.gujarat.gov.in/info-tech-act.htm

Cyber Appellate Tribunal



Example of Adjudicator

https://it.maharashtra.gov.in/1130/Filing-Complaints-under-IT-Act



Cybercrime provisions under IT Act,2000

Cyber Crime	Brief Description	Relevant Section in IT Act	Punishments
Cyber Stalking	Stealthily following a person, tracking his internet chats.	43, 65, 66	3 years, or with fine up to 2 lakh
Cyber Pornography including child pornography	Publishing Obscene in Electronic Form involving children	67, 67 (2)	10 years and with fine may extends to 10 lakh
Intellectual Property	Source Code Tampering, piracy, copyright infringement etc.	65	3 years, or with fine up to 2 lakh
Cyber Terrorism	Protection against cyber terrorism	69	Imprisonment for a term, may extend to 7 years
Cyber Hacking	Destruction, deletion, alteration, etc in a computer resources	66	3 years, or with fine up to 2 lakh
Phishing	Bank Financial Frauds in Electronic Banking	43, 65, 66	3 years, or with fine up to 2 lakh
Privacy	Unauthorised access to computer	43, 66, 67, 69, 72	2 years, or with fine up to 1 lakh

Cognizable Crime and Bail in IT Act

Section 77-B has been inserted under the proposed amendment bill as per which the offence punishable with imprisonment of three years and above shall be cognizable and the offence punishable with imprisonment of three years shall be bailable.

The text of inserted Section 77-B is as follows:

"S-77B Offences with three years imprisonment to be cognizable

(1) Notwithstanding anything contained in Criminal Procedure Code 1973, the offence punishable with imprisonment of three years and above shall be cognizable and the offence punishable with imprisonment of three years shall be bailable."

Positive Aspects are CREATION OF TRUST in e-commerce, governance etc.

SOCIAL MEDIA AND CARE



Do you recognize this photo?

Shaheen Dhadha and her friend Renu Srinivas were detained over a Facebook comment on a leader's funeral in Nov 2012.

Comments were, **"People like -------- are born and they die daily, and one should not observe a bandh"**

Now, Section 66A scrapped

But IT Act is much beyond this

The scrapped Section Sec 66A Exact wording

66A. Punishment for sending offensive messages through communication service, etc.

Any person who sends, by means of a computer resource or a communication device,—

(a) any information that is grossly offensive or has menacing character; or

(b) any information which he knows to be false, but for the purpose of causing annoyance, inconvenience, danger, obstruction, insult, injury, criminal intimidation, enmity, hatred or ill will, persistently by making use of such computer resource or a communication device,

(c) any electronic mail or electronic mail message for the purpose of causing annoyance or inconvenience or to deceive or to mislead the addressee or recipient about the origin of such messages,

shall be punishable with imprisonment for a term which may extend to three years and with fine.

Cases booked under section 66 A of the IT Act 2000 in past	Other sections of IPC clubbed with 66A
November 2011: Manoj Oswal - for allegedly having caused 'inconvenience' to relatives of Nationalist Congress Party chief Sharad Pawar for allegations made on his website.	Section 500 of the IPC (defamation)
April 2012: Jadavpur University Professor Ambikesh Mahapatra - for a political cartoon about West Bengal Chief Minister Mamata Banerjee.	Section 500 (defamation), Section 509 (insulting the modesty of a woman through word, gesture or act) and section 114 (presence of abettor at the time of commission of offence)
October 2012: Ravi Srinivasan, an IAC volunteer,for an allegedly defamatory tweet against the son of Union Finance Minister P Chidambaram	
May 2012: Two Air India employees jailed for 12 days for allegedly posting defamatory remarks on Facebook and Orkut against a trade union leader and a politician.	Section 506(2) of the IPC and Section 2 of the Prevention of Insults to National Honour Act 1971
September 2012: Aseem Trivedi, accused of violation of the IT Act for drawing cartoons lampooning Parliament and the Constitution to depict its ineffectiveness.	Section 124A of the IPC, Section 1860 (sedition) and the Prevention of Insults of National Honour Act, 1971.
November 2012: Two young women, Shaheen Dadha and her friend Renu Srinivasan, arrested for a comment posted on Facebook that questioned the shutdown of Mumbai following the demise of Shiv Sena Supremo Bal Thackeray.	Section 295 (a) of the IPC (for hurting religious sentiments)

Case on 15-7-2014

- http://timesofindia.indiatimes.com/City/Lucknow/Mainpuri-youth-abuses-Akhilesh-Yadav-on-Facebook-faces-arrest/articleshow/38394894.cms
- Mainpuri police booked a Delhi youth for posting obscene comments against chief minister Akhilesh Yadav on his personal Facebook page.
- The youth, identified as Deep Tripathi, studies in IGNOU, Delhi.

The Final Case on 16-3-2015

http://timesofindia.indiatimes.com/india/Teen-arrested-for-Facebook-post-attributed-to-Azam-Khan-gets-bail/articleshow/46620033.cms

RAMPUR: Police in Rampur (UP) have arrested and sent to the district jail a class 11 student of a reputed public school in Bareilly for uploading what they called an 'objectionable' post against Samajwadi Party strongman and the state's urban development minister Azam Khan.

Khan's media in-charge Fasahat Ali also lodged an FIR against the boy. Later, in a court which sent the student to 14 days in judicial remand, his family members said that he had merely shared the post on Facebook and not uploaded it.

Tourism officer booked for posting objectionable pics of UP CM on WhatsApp – 5/3/2015

http://timesofindia.indiatimes.com/city/bareilly/Tourism-officer-booked-for-posting-objectionable-pics-of-UP-CM-on-WhasApp/articleshow/46470748.cms

The morphed pictures were allegedly circulated last month(feb 15) in a WhatsApp group of state government employees and went viral among other groups also.

After a SP leader chanced to see these images in Lucknow and alerted Azam Khan regarding this, his local media in-charge met Rampur superintendent of police and demanded an investigation into the matter.

According to sources, police officials are also scrutinizing all the comments posted on the pictures.

In 2013, Dalit writer and social activist Kanwal Bharti was similarly arrested by Rampur police for an objectionable Facebook post against Azam Khan. Bharti was booked under section 66-A of the Information Technology Act.

Text of NEW guidelines on Registering a case Nov 29, 2012

- "... the concerned police officer or police station may not register any complaints (under Section 66 (A))unless he has obtained prior approval at the level of an officer not below the DCP rank in urban and rural areas and IG level in metros,"

What does it cover?

Read Pavan Duggal's (an advocate at the Supreme Court of India) article in Business Standard, link: http://www.business-standard.com/article/economy-policy/-b-pavan-duggal-b-section-66a-of-it-act-your-friend-or-foe-112112800134_1.html

- When you send Offensive message or otherwise either by means of a Computer, Computer System, Computer Network or using Mobile Phone, Smart Phone, iPhone, iPad, Tablet, Smart Devices, Personal Digital Assistants, BlackBerry or any other communication devices, you could be covered under Section 66A of the amended Indian Information Technology Act, 2000

PIL in Supreme Court, which got it scrapped....

.....the phraseology of Section 66A of the IT Act, 2000 is so wide and vague and incapable of being judged on objective standards, that it is susceptible to wanton abuse and hence falls foul of

Article 14 (Equality before law)
Article 19 (1)(a) (to freedom of speech and expression) and
Article 21 (Protection of life and personal liberty) of the Constitution

What is desirable...

.....be treated as a non-cognizable offence for the purposes of Section 41 and Section 156 (1) of CrPC

Supreme Court on Sec 66A

News dated 12-12-2014

http://indianexpress.com/article/india/india-others/section-66a-of-it-act-does-not-silence-anyone-sc/

Section 66A of IT Act does not silence anyone: SC

"If you (petitioner) don't know who are you taking to, who all will have access to your messages and who could finally get offended, does it not obligate you to be more careful? Don't equate right to speak with right to offend. You can always exercise your right to speak, your freedom of speech and expression without offending people. Law does not silence anyone. But it may ask you not to offend anyone by what you speak."

But Govt has agreed to review the provisions, SC has also expressed that the provisions are prone to abuse

http://indianexpress.com/article/india/india-others/no-guidelines-prone-to-abuse-sc-criticises-sec-66a-of-it-act/

Supreme Court on Sec 66A

News dated 24-3-2015

http://www.hindustantimes.com/india-news/supreme-court-uphold-free-speech-online-strikes-down-vague-section-66a-of-it-act/article1-1329903.aspx

The Supreme Court on Tuesday struck down a controversial law that made posting "offensive" comments online a crime punishable by jail, after a long campaign by defenders of free speech.

The Supreme Court said the 2009 amendment to India's Information Technology Act known as section 66A was unconstitutional and a restriction on freedom of speech.

"Section 66A is unconstitutional and we have no hesitation in striking it down,"

Justice RF Nariman

"The public's right to know is directly affected by section 66A."

BUT TAKE Care….
Offence is cognizable and

But it will be imperative that you exercise due diligence when you send information on the Internet, social media and mobile networks.

There is section 67 –

Punishment for publishing or transmitting obscene material in electronic form. –

Whoever publishes or transmits or causes to be published or transmitted in the electronic form, any material which is lascivious *(lewd, playful)* or appeals to the prurient interest or if its effect is such as to **tend to deprave and corrupt persons who are likely,** having regard to all relevant circumstances, to read, see or hear the matter contained or embodied in it, ……..

Defamation case is still possible

http://timesofindia.indiatimes.com/india/Man-booked-under-IT-Act-for-defaming-CM-Devendra-Fadnavis-in-tweet/articleshow/48011122.cms

MUMBAI: The Oshiwara police on Wednesday registered an FIR against one Ajay Hatewar for tweeting defamatory statements against chief minister Devendra Fadnavis and posting a picture of the CM enjoying a vacation with his family in 2011-2012.

SECTIONS AND PUNISHMENT

SEC 500 OF IPC	SEC 67 (A) OF THE IT ACT, 2000
Defamation (whoever defames another shall be punished with simple imprisonment for a term which may extend to two years, or with fine, or with both)	Publishing or transmitting of material containing sexually explicit act in electronic form (imprisonment may extend to 5 years & with fine, which may be up to ₹10 lakh; in case of 2nd conviction, imprisonment may extend to 7 years, with fine of up to ₹10 lakh)

How to Manage Social Media

https://twitter.com/RailMinIndia



The debate is on…

- Is curb required on social media?

- It is important to have some control
- Also protect individual's right to expression, within some boundaries.
- Social media had a key role in the 2012 Assam violence, Kishtwar (Jammu) & 2013 in the Muzaffarnagar riots
- Vadodara riots Navratri 2014

AUTHENTICATION OF ELECTRONIC DOCUMENTS

Digital/Electronic Signature

Digital Signature under the IT Act, 2000

Digital signature means authentication of any electronic record by a subscriber by means of an electronic method or procedure in accordance with the provisions of section 3.

Electronic Signature

An Amendment to the IT Act in 2008 introduced the term electronic signatures. This makes it TECHNOLOGY NEUTRAL

(i.e. biometric, e-pen, usb, sd card, mobile phone etc.)

Classes of Digital/Electronic Signature

Class	Assurance level	Applicability
Class 1	Class 1 certificates shall be issued to individuals/private subscribers. These certificates will confirm that user's name (or alias) and E-mail address form an unambiguous subject within the Certifying Authorities database.	This level provides a basic level of assurance relevant to environments where there are risks and consequences of data compromise, but they are not considered to be of major significance. This may include access to private information where the likelihood of malicious access is not high. It is assumed at this security level users are not likely to be malicious.
Class 2	These certificates will be issued for both business personnel and private individuals use. These certificates will confirm that the information in the application provided by the subscriber does not conflict with the information in well-recognized consumer databases.	This level is relevant to environments where risks and consequences of data compromise are moderate. This may include transactions having substantial monetary value or risk of fraud, or involving access to private information where the likelihood of malicious access is substantial.
Class 3	These certificate will be issued to individuals as well as organizations. As these are high assurance certificates, primarily intended for e-commerce applications, they shall be issued to individuals only on their personal (physical) appearance before the Certifying Authorities.	This level is relevant to environments where threats to data are high or the consequences of the failure of security services are high. This may include very high value transactions or high levels of fraud risk.

Class 0 Certificate: This certificate shall be issued only for demonstration/ test purposes.

Usage_of_Digital_Signature_in_e-Governance-https://egovstandards.gov.in/sites/default/files/Usage_of_Digital_Signature_in_e-Governance_Ver1.0.pdf

Types of Digital Signature Certificates

Individual Digital Signature Certificates (Signing Certificates)	Individual Certificates serve to identify a person. It follows that the contents of this type of certificate include the full name and personal particulars of an individual. These certificates can be used for signing electronic documents and emails and implementing enhanced access control mechanisms for sensitive or valuable information.
Server Certificates	Server Certificates identify a server (computer). Hence, instead of a name of a person, server certificates contain the host name e.g. https://nsdg.gov.in/ " or the IP address. Server certificates are used for "1 way or 2 way SSL to ensure secure communication of data over the network."
Encryption Certificates	Encryption Certificates are used to encrypt the message. The Encryption Certificates use the Public Key of the recipient to encrypt the data so as to ensure data confidentiality during transmission of the message. Separate certificates for signatures and for encryption are available from different CAs

Certifying Authorities in India

- The Office of Controller of Certifying Authorities (CCA), issues Certificate only to Certifying Authorities.CA issue Digital Signature Certificate to end-user. Any one of the CAs can be approached for getting Digital Signature Certificate.

The website addresses are given below.

www.safescrypt.com
http://nicca.nic.in/
www.idrbtca.org.in
www.tcs-ca.tcs.co.in
www.ncodesolutions.com
www.e-Mudhra.com

Suggested Reading

- http://catindia.gov.in/pdfFiles/IT_Act_2000_vs_2008.pdf
- http://www.csi-india.org/c/document_library/get_file?uuid=2ce4b842-aca6-4f54-87b6-d778093925d9&groupId=10157
- http://www.slideshare.net/NIIConsulting/it-act-2000-penalties-offences-with-case-studies
- http://deity.gov.in/content/cyber-laws
- http://delhidistrictcourts.nic.in/ejournals/CYBER%20LAW.pdf
- http://www.police.mizoram.gov.in/uploads/files/cyber-pornography-it-act.pdf
- List of books - http://www.lexisnexis.in/books-cyber-crimes.htm

Issues in Cyber space

- Information, responsibility and Data Protection
- Piracy, Copyright
- Email Policy of Govt of India

Information and Responsibility



Data Protection Sections in IT ACT 2000/2008

Section 43-A primarily deals with compensation for negligence in implementing and maintaining reasonable security practices and procedures in relation to **sensitive personal data or information ("SPDI").**

Section 72-A deals with personal information and provides punishment for disclosure of information in breach of lawful contract or without the information provider's consent.

Sensitive Personal Data or Information (SPDI)

- On 13 April 2011, the Ministry of Communications and Information Technology (MCIT), Government of India, notified the Information Technology (Reasonable Security Practices and Procedures and Sensitive Personal Data or Information) Rules, 2011 (Rules).

SPDI consists of the following

Passwords;	Financial information such as bank account or credit card or debit card or other payment instrument details;	Physical, physiological and mental health condition;
Sexual orientation;	Medical records and history;	Biometric information.

International Standards for SECURITY IS / ISO / IEC 27001

- ISO 27001:2013 is an information security standard that was published on the 25 September 2013.
- It cancels and replaces ISO 27001:2005, and is published by the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC).

List of third part ISO 27001 service providers on http://www.cert-in.org.in/
On the website, click



Third party ISO 27001 certification bodies





http://www.cert-in.org.in/



India's Institution CERT-In

- http://www.cert-in.org.in/
- CERT-In (the Indian Computer Emergency Response Team) is a government-mandated information technology (IT) security organization.
- The purpose of CERT-In is to respond to computer security incidents, report on vulnerabilities and promote effective IT security practices throughout the country.

http://www.cert-in.org.in/



Piracy – Who is liable?

User

or

Service Provider

Piracy – Liability of the intermediary

Information Technology Amendment Act has clarified the definition "Intermediary" by specifically including the:

- telecom services providers,
- network providers,
- internet service providers,
- web-hosting service providers in the definition of intermediaries thereby removing any doubts.

Furthermore, search engines, online payment sites, online-auction sites, online market places and cyber cafés are also included in the definition of the intermediary

BAZZEE.COM case

Piracy – Liability of the intermediary

Under the Information Technology Amendment Act, 2008, Section 79 has been modified to the effect that an ***intermediary shall not be liable for any third party information data or communication link made available or hosted by him.***

Piracy – Liability of the intermediary

This is however subject to following conditions:

- The function of the intermediary is limited to providing access to a communication system over which information made available by third parties is transmitted or temporarily stored or hosted;
- The intermediary does not initiate the transmission or select the receiver of the transmission and select or modify the information contained in the transmission;
- The intermediary observes due diligence while discharging his duties.

Piracy – Liability of the intermediary

As a result of this provision, social networking sites like Facebook, Twitter etc. would be immune from liability as long as they satisfy the conditions provided under the section.

Similarly, Internet Service Providers (ISP), blogging sites, etc. would also be exempt from liability.

Notifications of Rules under section 6A, 43A and 79
http://deity.gov.in/sites/upload_files/dit/files/GSR3_10511(1).pdf

Piracy – Court Order

Over 200 sites blocked in India after Sony's piracy complaint

http://timesofindia.indiatimes.com/articleshow/37961214.cms

A number of websites including torrent file aggregators, file storage sites and even Google Docs and Google's URL shortener Goo.gl have been blocked in India, as per a new report.

Delhi high court order passed on 23 June 2014 instructs internet service providers (ISPs) to block as many as 472 websites.

The order was passed following a complaint alleging online piracy by Sony's Multi Screen Media, which has broadcasting rights for the Fifa World Cup.

Software Piracy- Copyright Act

- According to Section 63 of the Copyright (Amendment) Act 1994, there is a minimum jail term of 6 months for copyright infringement.
- The section also provides for fines up to Rs 2,00,000 and jail term up to three years or both.

Software Piracy – IT Act

- Liable under Section 66 of IT Act, 2000
- All the accused who are providing assistance to any person to facilitate access or those who are illegally downloading/copying/extracting software are also liable to pay damages to the affected party per section 43 of the IT Act, 2000.
- In such cases the company/firm as well as its in-charge are liable under section 85 of the Information Technology Act, 2000.

Govt of India – Cyber Issues website

http://deity.gov.in/content/cyber-laws

Email Policy of Govt of India

http://www.egazette.nic.in/WriteReadData/2015/163000.pdf
http://www.deity.gov.in/content/email-policy

Issued in Oct 2014, notification issued in gazette again on 25th Feb 2015.

Clause 5.1.d.viii: Forwarding of e-mail from the e-mail id provided by GoI to the Government official's personal id outside the GoI email service is not allowed due to security reasons.

Official e-mail id provided by the IA can be used to communicate with any other user, whether private or public.

Two email ids

5.2 E-mail Account Management

a) Based on the request of the respective organizations, Implementing Agency(IA) will create two ids, one based on the designation and the other based on the name.

Designation based id's are recommended for officers dealing with the public.

Ref: No. 2(22)/2013-EG-II Ministry of Communication & Information Technology Department of Electronics & Information Technology Page 8 of 16

E-mail Domain & Virtual Hosting

5.4 E-mail Domain & Virtual Hosting

- By default, the address "userid@gov.in" shall be assigned to the users.
- Organizations desirous of an e-mail address belonging to other domains (e.g. xxxx@deity.gov.in, yyyy@tourism.gov.in) need to forward their requests to the IA

ONGC Email Spoof :13-10-2015

http://indianexpress.com/article/business/companies/identity-theft-ongc-falls-prey-to-cyber-fraud-loses-rs-197-crore/
13-10-2015

Oil and Natural Gas Corporation Limited (ONGC) lost Rs 197 crore after cyber criminals duplicated the public sector firm's official e-mail address with minor changes and used it to convince a Saudi Arabia-based client to transfer payments to their account.

The communication from ONGC was done using the e-mail ID
patel_dv@ongc.co.in

The fraudsters merely created an e-mail address
patel_dv@ognc.co.in

The fraudsters then sent an e-mail asking for the payment to be deposited to a Bangkok-based account

Clause 14: Exemption

14.1

Organizations, including those dealing with national security, that currently have their own independent mail servers can continue to operate the same, provided the e-mail servers are hosted in India.

These organizations however need to ensure that the principles of the e-mail policy are followed. However, in the interest of uniform policy enforcement and security, it is recommended that these organizations should consider migrating to the core service of the IA.

Cyber world - India

- Cyber Crime
- Cyber Espionage
- Cyber Terrorism
- Cyber Warfare
- Social Media

Cyber world - India

- Second largest telecommunication infrastructure in the world
- Second largest number of internet users
- Billion mobile users, 30 % with smart phones
- 80 % of the phones are imported, with risks & vulnerabilities
- 64 billion applications downloaded in 2012 across all platforms (iOS, Android, Windows Mobile, etc.) in the world

Cyber world - India

- Application download - India's share 1.56 billion , likely to be 9 billion by 2015 (a yearly growth of 75 %)
- All applications are not tested and certified
- Major source of vulnerabilities and cyber security threat
- Highest number of downloads in 16 to 30 age group
- Group is more adventurous than risk-averse

Cyber world - India

- 4.2 million computer systems including mobile phones were infected with the botnet virus in India by June 2013 – CERT-In
- India figures third in the list of countries targeted by phishing attacks
- More than 23 % of online users facing these attacks in 2014
- India faced 60,000 reported cyber attacks in 2014

Botnet

- The word botnet is a combination of the words robot and network
- The term is usually used with a negative or malicious connotation
- Number of Internet-connected devices used by a botnet owner to perform various tasks
- Botnets can be used to perform Distributed Denial of Service Attack, steal data, send spam, and allow the attacker access to the device and its connection
- The owner can control the botnet using command and control (C&C) software

INTRODUCTION OF HINDI TYPING TOOLS

इनस्क्रिप्ट कुँजीपटल

इलैक्ट्रॉनिक्स विभाग भारत सरकार के अनुदान पर भारतीय प्रौद्योगिकी संस्थान कानपुर द्वारा वर्ष में जिस्ट तकनीक पर कार्य प्रारंभ किया गया था। इलैक्ट्रॉनिक्स विभाग ने इस तकनीक का व्यावसायीकरण करते हुए वर्ष में इनस्क्रिप्ट कुँजीपटल का प्रकाशन किया। वर्ष में भारतीय मानक ब्यूरो द्वारा **इस्की** (ISCII–Indian Script Code for Information Interchange) कोडिंग प्रणाली के अंतर्गत इनस्क्रिप्ट कुँजीपटल का मानकीकरण किया गया। इस प्रकार संपूर्ण भारतवर्ष में इलैक्ट्रॉनिक तथा संचार माध्यमों में इनस्क्रिप्ट कुँजीपटल का प्रयोग अनिवार्य रूप से किया जाने लगा। इस तकनीक ने यह सिद्ध कर दिया है कि भारतीय लिपियों की समान ध्वन्यात्मक विशेषता पर आधारित इस कुँजीपटल के माध्यम से किसी भी भारतीय भाषा में पूर्ण दक्षता एवं अपेक्षाकृत अधिक गति के साथ टंकण कार्य किया जा सकता है।

अधिकतर भारतीय भाषाओं को लिखने के लिए सैकड़ों आकृतियों की आवश्यकता होती है जिन्हें एक दूसरे के ऊपर नीचे लिखा जाता है। कई मात्राएँ अक्षरों के ऊपर नीचे दाईं तथा बाईं ओर लगाई जाती हैं। हाथ से लिखते समय इन मात्राओं को अपेक्षित दिशा में आसानी से लगाया जा सकता है। क्या कुँजीपटल पर भी यह कार्य इतनी ही सरलता से किया जा सकता है?

अंग्रेजी भाषा में कुल अक्षर होते हैं जिनके लिए कुँजीपटल पर मात्र कुँजियों की आवश्यकता होती है। इन कुँजियों पर Lower Case में अंग्रेजी के छोटे अक्षर (Small Letters) और Upper Case में अंग्रेजी के बड़े अक्षर (Capital Letters) लिखे होते हैं। कंप्यूटर पर अंग्रेजी भाषा के एनकोडिंग के लिए इन कुँजियों के अतिरिक्त कुछ अन्य कुँजियों की आवश्यकता होती है जिनपर व्याकरणिक चिह्न अंक विशेष चिह्न आदि लिखे होते हैं। अंग्रेजी के इन सभी अक्षरों के लिए कुँजीपटल पर कुँजियों की व्यवस्था है। क्या इन्हीं कुँजियों पर भारतीय भाषाओं के सभी अक्षर व्याकरणिक चिह्न अंक आदि समायोजित हो सकते हैं?

यदि प्रत्येक भारतीय भाषा के लिए अलग अलग कुँजीपटल बनाए जाते तो एक व्यक्ति को उन सभी भाषाओं जो वह जानता है में कार्य करने के लिए अलग अलग कुँजीपटल सीखने होंगे। क्या ऐसी व्यवस्था विभिन्न भारतीय भाषाओं के विकास और विस्तार में गतिरोधक का कार्य नहीं करेंगी ?

उपर्युक्त सभी प्रश्नों का उत्तर इनस्क्रिप्ट कुँजीपटल है। यह कुँजीपटल सभी भारतीय भाषाओं की लिपियों को एक समान एक ही विधि से टाइप करने की अनूठी सुविधा उपलब्ध कराता है। तात्पर्य यह है कि एक भारतीय भाषा में टाइप जानने वाला व्यक्ति दूसरी भारतीय भाषा में आसानी से टाइप कर सकता है। किसी भी भारतीय लिपि में आधारभूत अक्षर व्याकरणिक चिह्न एवं अंकों की कुल संख्या लगभग अथवा उससे कम होते हैं इसी आधार पर इनस्क्रिप्ट कुँजीपटल ने यह चमत्कार कर दिखाया है। इनस्क्रिप्ट कुँजीपटल किसी भी भारतीय भाषा के सभी अक्षर संयोजनों को सृजित करने की सुविधा प्रदान करता है।

आधारभूत अक्षरों का अनुक्रम लिखे गए शब्द की आकृति का निर्धारण करने के लिए पर्याप्त है। आकृति का निर्धारण शब्दों की शुद्धता को दर्शाता है। जिस प्रकार एक मनुष्य शब्दों की शुद्धता को दर्शाता है उसी प्रकार कंप्यूटर सॉफ्टवेयर भी इस कार्य को कर सकता है क्योंकि विभिन्नताओं को दर्शाने के लिए लिपि के आवश्यक सैकड़ों आकृतियों ग्लिफ को कंप्यूटर अपने स्मृतिकोश में रख सकता है। कंप्यूटर इन आकृतियों को कागज़ पर अथवा मॉनिटर पर अत्यंत सुरुचिपूर्ण ढंग से व्यवस्थित करने के लिए जटिल तर्कों का प्रयोग करने में सक्षम होता है।

जब कोई व्यक्ति निर्धारित वर्तनी के अनुसार किसी शब्द को टाइप करता है तब उसे शब्द बनाने के लिए अक्षरों को व्यवस्थित करना होता है। इस प्रक्रिया में उसे सोचना नहीं पड़ता है। यही कारण है कि स्पर्श टंकण पद्धति से टंकण कार्य करने वाले व्यक्ति को अक्षरों को व्यवस्थित करने के लिए मॉनिटर की ओर देखने की आवश्यकता नहीं पड़ती है। अब यह संभव हो गया है कि व्यक्ति के मस्तिष्क में कुछ विचार चल रहे हों और वह उसी प्रकार निर्बाध तरीके से अपनी अंगुलियों को कुँजीपटल पर चलाता रहे जिस प्रकार रोमन लिपि के लिए अंग्रेजी कुँजीपटल पर चलाता है। इनस्क्रिप्ट कुँजीपटल पर किसी भी भारतीय भाषा में टंकण कार्य करना अत्यंत ही सरल है। इस कुँजीपटल को बनाने में भारतीय लिपियों के वर्णाक्षरों की वैज्ञानिक एवं ध्वन्यात्मक प्रकृति का प्रयोग किया गया है इसलिए अंग्रेजी कुँजीपटल की तुलना में इसे सीखना भी अधिक सहज है।

इनस्क्रिप्ट कुँजीपटल की व्यावहारिक विशेषताएँ



इनस्क्रिप्ट कुँजीपटल के उपर्युक्त चित्र को देखने से इसकी अनेक विशेषताओं का पता चलता है। यह कुँजीपटल प्रयोक्ता को व्याकरणसम्मत त्रुटियों से बचाता है जैसे– एक व्यंजन पर दो मात्राएँ नहीं लगाई जा सकतीं। यदि किसी व्यंजन पर पहले से ही एक मात्रा लगी है तो यह उस पर दूसरी मात्रा लगाने की अनुमति नहीं देता है। यदि दूसरी मात्रा लगाने का प्रयास किया जाए तो यह इस प्रकार दिखाई देगा

हिं ◌ू दी

इनस्क्रिप्ट कुँजीपटल पर आधे वर्णों को अलग से नहीं रखा गया है। अत जब भी किसी शब्द में आधे वर्ण आएँ तो पूरे वर्ण के बाद हल् चिह्न ् और तुरंत बाद अगला वर्ण टाइप करने से 'आधा वर्ण' बन जाता है। जैसे 'खत्म' शब्द टाइप करना हो तो पहले 'ख' फिर 'त' फिर हल् चिह्न और अंत में 'म' टाइप करने पर 'खत्म' शब्द टाइप हो जाएगा

ख त ् म खत्म

कुछ बहुतायत में प्रयोग होने वाले संयुक्ताक्षर इनस्क्रिप्ट कुँजीपटल पर दिए गए हैं किंतु शेष संयुक्ताक्षरों को बनाना पड़ता है। कुँजीपटल पर विद्यमान संयुक्ताक्षर निम्नलिखित हैं

क्ष त्र ज्ञ श्र

शेष संयुक्ताक्षरों को निम्नलिखित विधि द्वारा बनाया जाएगा :

द्व	द ् व	द्ध	द ् ध
द्द	द ् द	द्य	द ् य

इस कुँजीपटल पर 'इ' की मात्रा ि का प्रयोग तर्कसंगत रूप में किया जाता है। लिखे हुए शब्द को देखने पर यह मात्रा अक्षर से पहले लगी हुई नज़र आती है किंतु बोलने पर इसका उच्चारण अक्षर के बाद होता है। इस कुँजीपटल पर 'इ' की मात्रा को उच्चारण के आधार पर लगाया जाता है अर्थात पहले अक्षर टाइप करेंगे और उसके बाद ि मात्रा को टाइप किया जाएगा जो अपने आप अक्षर से पहले जुड़ जाती है। इसी प्रकार संयुक्ताक्षरों में लगने वाली ि मात्रा भी संयुक्ताक्षर टाइप करने के बाद ही लगाई जाती है

किन क ि न

स्थिर स ् थ ि र

वर्णों को कुँजियों पर वर्णमाला के क्रम में ही रखने का प्रयास किया गया है। 'क' और 'ख' वर्ण एक ही कुँजी पर हैं और इसी कुँजी के ऊपर वाली पंक्ति की कुँजी पर इनके अगले वर्ण 'ग' तथा 'घ' विद्यमान हैं। इसी तरह अन्य वर्णों को भी व्यवस्थित किया गया है ताकि उन्हें खोजने में अधिक उलझन न हो।

केंद्रीय हिंदी प्रशिक्षण संस्थान

सभी स्वर और उनकी मात्राएँ भी इनस्क्रिप्ट कुँजीपटल पर उनके पूरे रूप में दी गई हैं। इन्हें एक ही स्ट्रोक से बनाया जा सकता है और टाइपराइटर कुँजीपटल की भाँति किसी मात्रा को बनाने के लिए अनेक कुँजियों को दबाने की आवश्यकता नहीं होती है। नीचे सभी स्वरों और उनके मात्रा चिह्नों को दिया गया है जो इसी रूप में इनस्क्रिप्ट कुँजीपटल पर मौजूद हैं

औ	ओ	ऐ	ए	आ	ऊ	उ	ई	इ	ऋ
ौ	ो	ै	े	ा	ू	ु	ी	ि	

'र' अक्षर पर 'उ' अथवा 'ऊ' की मात्रा भी बिलकुल सरल ढंग से लगाई जा सकती है। 'र' अक्षर टाइप करें आवश्यकतानुसार 'उ' अथवा 'ऊ' की मात्रा टाइप करें। आप देखेंगे कि निम्नलिखित तरीके से मात्रा अपने निर्धारित स्थान पर लग जाएगी

रुपया र ु प य ा

रूप र ू प

रकार नीचे लगने वाला र जैसे 'प्रकार' में तथा रेफ ऊपर लगने वाला र जैसे 'कर्म' में से युक्त शब्दों को बनाने के लिए इनस्क्रिप्ट कुँजीपटल दो विकल्प उपलब्ध कराता है। पहले विकल्प के अंतर्गत आप निम्नलिखित तरीके से हल् चिह्न वाली कुँजी का प्रयोग कर सकते हैं

प्रकार प ् र क ा र

कर्म क र ् म

दूसरे विकल्प के अंतर्गत कुँजीपटल की सबसे ऊपर की पंक्ति में दो कुँजियाँ उपलब्ध हैं जो क्रमश तथा की संख्याओं वाली कुँजियों पर हैं। पहली कुँजी पर '्र' बना है जो रकार के लिए प्रयोग किया जाता है जबकि दूसरी कुँजी पर 'र्' बना है जो रेफ के लिए प्रयोग होगा। इन कुँजियों की सहायता से निम्नलिखित तरीके से रकार और रेफ से युक्त शब्दों को टाइप किया जा सकता है

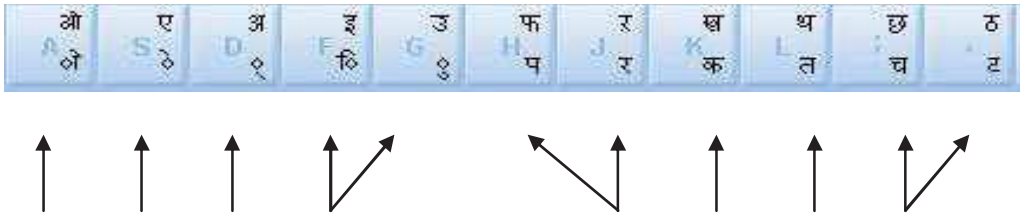
प्रकार प ् र क ा र

कर्म क र् म

इनस्क्रिप्ट कुँजीपटल हमें कुछ अतिरिक्त वर्ण और चिह्न भी उपलब्ध कराता है जो अन्य कुँजीपटलों पर प्राय उपलब्ध नहीं होते हैं जैसे - **ऍ ङ ञ ऑ फ ँ ः ।**

अभ्यास

इनस्क्रिप्ट कुँजीपटल : होम कीज
नीचे से दूसरी पंक्ति



बायाँ हाथ **दायाँ हाथ**

चतकरप टचतकर चतकरप टचतकर चतकरप टचतकर

तट टच कर पक पर चर कत तक तर

कटकर तटकर चटपट तपकर चटकर पटपट

टेक टेप चेत चोट कोट चित टिप पिट टिकट चिपट चुप टुक टुकर टिपटिप

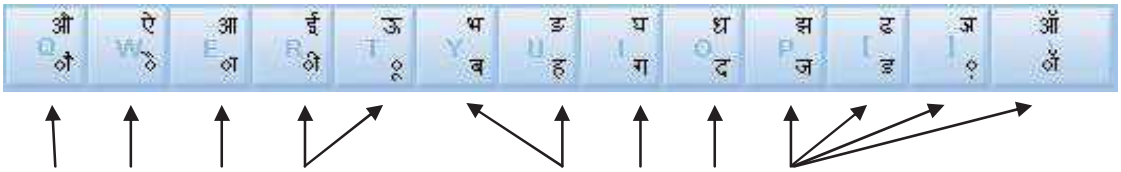
निर्देश : **व्यंजनों को आधा बनाने के लिए बाएँ हाथ की तीसरी कुँजी पर स्थित हल् चिह्न का प्रयोग करें। पहले व्यंजन टाइप करें फिर हल् चिह्न और उसके बाद अगला व्यंजन टाइप करने पर हल् चिह्न से पहले का व्यंजन आधा हो जाएगा।**

कच्चे पक्के पट्टे कट्टे तप्त रक्त करप्ट

केंद्रीय हिंदी प्रशिक्षण संस्थान

अभ्यास

इनस्क्रिप्ट कुँजीपटल
नीचे से दूसरी तथा तीसरी पंक्ति



बायाँ हाथ **दायाँ हाथ**

चजच चडच तदत कगक रहर रबर पहर कदर जहर कहर

जौहर गौहर दौड़ कौर गौड़ पैर बैर बैज कैच डकैत

राह चाह टाप पाट गाद रात दाग चार चाक पाक रूप कूप जरूर गरूर जूट पूत कपूत

जीत कीट दीप पीट पीर कीप हीक गीत

पापी गीता पपीता पिता गिरी जौहरी डैडी जीजा बीहड़ टिहरी गुज़ारा पेड़ पेड़ा बड़ा

दिक्कत गद्दी रद्दी टट्टू कुत्ता पुत्तर

काका को दो जीप की जरूरत है

पपीते के पेड़ को बड़ा करो

बर्बरता की चोट को प्रकट करो

बरगद के पेड़ पर जा चाचा की जीत होगी

अभ्यास

इनस्क्रिप्ट कुँजीपटल
नीचे से दूसरी तथा पहली पंक्ति



बायाँ हाथ **दायाँ हाथ**

चयच रसर रलर नल वन मन पवन पलक तरल सरल

कवि विनती सवाल सरिता सवार वारिस सनम दीवार

मोरनी पलीत चस्का टमटम चम्मच सलाम नीला नीर

मोल नाम यदि सोनार लड़का सहोदर तिकोना सोना

सवेरा यजमान ताकत लालसा लावारिस विराजना चमत्कार

मुलाकात तौलना याराना हुजूर पल्ला पन्ना सट्टा पैसा

निर्देश : अनुस्वार बिंदु लगाने के लिए बाएँ हाथ की पहली कुँजी कॉमा लगाने के लिए दाएँ हाथ की तीसरी कुँजी और दशमलव चिह्न लगाने अथवा शब्दों के संक्षिप्तीकरण के लिए दाएँ हाथ की दूसरी कुँजी का प्रयोग करते हुए निम्नलिखित शब्दों का अभ्यास करें :

कंस मांस सांस रांची हंसी बांस चंदा नंदन

बंदर कलंदर जंगल तंगी कोंपल रेंकना मंगेल

जादूगर सुकरात मामला दिक्कत कच्चा किंतु

10. टक्कर गौरव राजाराम कंगन दिल्ली

निर्देश : 'द्व' बनाने के लिए आगे दर्शाए क्रम में टाइप करें : द ् व

विद्वान द्वारा द्वितीय द्वीप द्विज

निर्देश : 'द्य' बनाने के लिए आगे दर्शाए क्रम में टाइप करें : द ् य

विद्या द्योतक यद्यपि गद्य पद्य विद्यालय

निर्देश : कुछ और शब्दों का अभ्यास करें :

जूता लीला तमस पारस चीनी पान तराजू सचमुच

मरम्मत सुंदर व्यायाम च्यवन ज्वार पूज्य प्याज महत्ता डाकिया ग्लानि

हिंदी गद्दी गद्यम कौमुदी नज़राना रुपया महरूम बवंडर रुस्तम सोना

अभ्यास

इनस्क्रिप्ट कुँजीपटल
(नीचे से पहली दूसरी तथा तीसरी पंक्ति

निर्देश : आपने पिछले अभ्यासों में उपर्युक्त तीनों पंक्तियों पर विद्यमान कुँजियों के व्यंजनों मात्राओं और व्याकरण चिह्नों से बनने वाले कुछ शब्दों का अभ्यास किया। अब इन्हीं कुँजियों का प्रयोग करते हुए नीचे दिए गए अनुच्छेद का अभ्यास करें ताकि इन पंक्तियों के सभी व्यंजन मात्राएँ और चिह्न अच्छी तरह याद हो जाएँ।

नंदन वन

किसी नदी के किनारे काल्पनिक नंदन वन की बात सदियों से की जाती रही है कहानीकारों व विद्वानों द्वारा नंदन वन के बारे में बहुत कहा गया है हम नंदन वन की कहानी को बच्चों के बीच बहुत लोकप्रिय पाते हैं कहा जाता है कि वन के नज़दीक बहुत बड़ा बाग है जिसमें नीम के बहुत सारे पेड़ हैं पेड़ों की डालियां बहुत मोटी व बड़ी हो चुकी हैं बच्चे रोज़ सवेरे वहां जा कर पेड़ों को पानी देते हैं दूसरे बच्चों से मुलाकात करते हैं

यह कहानी बाल पुस्तकों में बहुत प्रचलित है वर्तमान में यह वन बच्चों में ज्यादा चर्चित नहीं है परंतु पुराने ज़माने के बच्चों जोकि बड़े हो चुके हैं में नंदन वन बहुत प्रिय है जो बच्चे बड़े हो चुके हैं वे वर्तमान के बच्चों को नंदन वन के बारे में बतायें वनों की हरियाली प्राचीन प्रतीकों की जीवंतता समाज की प्रगति का सूचक है हर माता पिता का कर्तव्य है कि वे प्राचीन गौरवमयी प्रतीकों के बारे में बच्चों को बतायें प्राचीन प्रतीक हमारे पूर्वजों की पहचान हैं पुरानी बातें बच्चों के मानसिक विकास में मदद करती हैं

केंद्रीय हिंदी प्रशिक्षण संस्थान

अभ्यास

इनस्क्रिप्ट कुँजीपटल
(नीचे से चौथी पंक्ति



बायाँ हाथ **दायाँ हाथ**

निर्देश : इस पंक्ति पर संख्याएँ दी हुई हैं जिनका अभ्यास गति बनाते समय साथ साथ ही हो जाता है किंतु अंतिम दो कुँजियों पर क्रमश: डैश योजक चिह्न तथा ऋ की मात्रा की कुँजियाँ दी गई हैं। इनका अभ्यास अवश्य किया जाना चाहिए। इन दोनों कुँजियों को दाएँ हाथ की पहली अंगुली से टाइप किया जाएगा।

दादा पोता सास बहू नाना नानी राहू केतु

कृपा मृग नृप कृपया बृज कृत सृजन

डॉक्टर कॉस्ट लॉस्ट हॉस्टेज हॉकी कॉलेज नॉलेज

बच्चों की लीला निराली होती है

गरीब लोग सोने चांदी की चमक से महरूम हैं

नाव यायावर की पहचान है

रुस्तम को यायावर माना गया है

यह जहाज सेना की ताकत का विस्तार करेगा

डॉक्टर की कृपा से दादा दादी नाना नानी तेज़ ज्वर से बच पाये

पीड़ित को बवंडर से बचाने हेतु पैसे की महत्ता वैसी ही है जैसे प्यासे को प्यास से निज़ात दिलाने हेतु मटके के पानी की

अभ्यास

इनस्क्रिप्ट कुँजीपटल
(होम कीज़ पर शिफ्ट का प्रयोग

निर्देश : अभ्यास करते समय अंगुलियों की स्थिति वही रहेगी जो पूर्व अभ्यासों में रही है। व्यंजनों को टाइप करते समय आपको कुँजीपटल की शिफ्ट कुँजी को दबाना होगा। दाएँ हाथ की अंगुलियों के व्यंजन टाइप करते समय बाएँ हाथ की शिफ्ट कुँजी तथा बाएँ हाथ की अंगुलियों के व्यंजन टाइप करते समय दाएँ हाथ की शिफ्ट कुँजी को दबाएँ ताकि निर्बाध गति से व्यंजनों को टाइप किया जा सके।

ओम ओमान ओज ओखली ओजस्वी एक एम एल अहसान अहसास

असम अजगर अकबर अचकन अनाम इक इकबार इतवार इकलौता इकबाल इल्म इलाका

उल्का उल्टा उच्च उलेमा उल्लू उन्माद फल फायदा फासला फालतू फसल फैसला

खाल खील खाकी अखरोट अखबार खिलाफ थाल थान थैला थकान कथा हाथ

छाप छाल छैला अच्छा छप्पन छलनी

ठेला ठेठ ठोकर उठना कठिन ठगना

ओखली का संबंध माखनचोर नटखट गोपाल से है

नंद के ओजस्वी लाल का सिर्फ अहसास ही मन को सुख प्रदान करता है

बलराम उन्हें प्यार से कान्हा कहकर पुकारते थे

गोपियां उनकी मां को उनके खिलाफ कठिन फैसले लेने पर मजबूर करती थीं

केंद्रीय हिंदी प्रशिक्षण संस्थान

अभ्यास

इनस्क्रिप्ट कुँजीपटल
नीचे से दूसरी तथा तीसरी पंक्ति की कीज़ पर शिफ्ट का प्रयोग

निर्देश : अभ्यास करते समय अंगुलियों की स्थिति पूर्ववत् रहेगी। व्यंजनों को टाइप करते समय आपको कुँजी पटल की शिफ्ट कुँजी को दबाना होगा।

और औरत औसत औचक औजार औपचारिक

ऐसा ऐनक ऐतबार आह आस आलू आम आकाश आटा आदत

ईख कई कोई कताई लड़ाई पाई चारपाई

ऊखल ऊपर ऊंट ऊन जनेऊ खड़ाऊं

भगवान भयानक भाग्य भालू अभ्यास भूल

घर घटा घंटी घेराव धाक धागा धमाका उधार धोनी

झंडा झाल झांसा झंकार ढक्कन ढोल पढ़ चढ़ाई

ठेला घटना ईशान ऊसर अभ्युदय कथ्य भावना

निर्देश : 'द्ध' बनाने के लिए आगे दर्शाए क्रम में टाइप करें : द ् ध

सिद्ध अवरुद्ध बुद्ध युद्ध शुद्ध विरुद्ध क्रुद्ध प्रबुद्ध प्रसिद्ध

बापू जी का आह्वान अंग्रेजी हुकूमत की चूलें हिलाने के लिए काफी होता था गांधी जी का मानना था कि कोई भी लड़ाई चारपाई पर बैठकर नहीं लड़ी जा सकती खड़ाऊं पहनकर डांडी यात्रा करना कोई आसान कार्य नहीं है परंतु किसी न किसी को तो आगे बढ़ना ही होगा अभ्युदय के लिए झंडा लेकर ढोल पीटना काफी नहीं होगा उन्होंने सत्य और अहिंसा के पथ पर चलकर आज़ादी हासिल करने की ठानी और विजयी हुए वे अपने जीवन की सारी लड़ाइयां इसी मंत्र के सहारे जीतते रहे उनका सत्य और अहिंसा का पाठ आज भी उतना ही प्रासंगिक है

अभ्यास

इनस्क्रिप्ट कुँजीपटल
(पहली दूसरी तथा तीसरी पंक्ति पर शिफ्ट का प्रयोग

निर्देश : अभ्यास करते समय अंगुलियों की स्थिति वही रहेगी जो पूर्व अभ्यासों में रही है। व्यंजनों को टाइप करते समय कुँजीपटल की शिफ्ट कुँजी को दबाना होगा

माँ चाँद माँद शक यश शशि हशीश राशि शहर विष विषय मनुष्य भाषा शिष्य भविष्य षटकोण

रणभेरी बजी।

अर्जुन रथ पर सवार होकर युद्धभूमि में पहुँचे।

अपने निकट संबंधियों को सामने खड़ा पाया।

उन्होंने अपना हथियार डाल दिया और युद्ध में भाग लेने से मना कर दिया।

कृष्ण ने समझाया – हे अर्जुन यह शरीर नश्वर है और आत्मा शाश्वत।

भविष्य की चिंता मत करो वर्तमान के बारे में सोचो।

मनुष्य अपने भाग्य का निर्माता खुद है।

वर्तमान ही भविष्य का नींव है इस सांसारिक मोह को त्याग दो।

अन्य योद्धा यह समझ नहीं पा रहे थे कि दोनों के बीच क्या द्वंद्व चल रहा है।

केंद्रीय हिंदी प्रशिक्षण संस्थान

अभ्यास

इनस्क्रिप्ट कुँजीपटल
(नीचे से चौथी पंक्ति पर शिफ्ट का प्रयोग

निर्देश : लोअर केस में इस पंक्ति में से तक संख्याएँ और कभी कभी प्रयोग में आने वाले कुछ व्याकरण चिह्न और मात्राएँ हैं किंतु शिफ्ट दबाने पर इस पंक्ति में अनेक संयुक्ताक्षर और व्याकरणिक चिह्न मिलते हैं जिनका हिंदी शब्द संसाधन में बहुत महत्व है। इनका ठीक से अभ्यास करके हम शब्द संसाधन के दौरान अपना समय और श्रम बचा सकते हैं।

क्र प्र ग्र आदि संयुक्ताक्षर जैसे प्रजा टाइप करने के लिए आगे दर्शाए क्रम में टाइप करें : प+्+र ज ा

क्रम प्रधान प्राण ग्रहण स्रोत प्रचार प्रसार

ट्रक ट्राम राष्ट्र ड्रम ड्राफ्ट

कर्म धर्म आदि शब्दों को टाइप करने के लिए आगे दर्शाए क्रम में टाइप करें : क+र+्+म

फर्क तर्क गर्त अंतर्गत गर्व पर्व दर्पण

ज्ञान अज्ञान आज्ञा अज्ञात प्राज्ञ जिज्ञासु

सत्र त्रास नेत्र चरित्र त्रिलोक त्रिकोण त्रुटि

कक्ष चक्षु भिक्षा अक्षर क्षमा अक्षत

श्री श्राफ श्रीफल श्रीमान श्रीमती आश्रम श्रमिक श्राप

साधारणत स्वत अत अन्तत पुन नि संदेह

ऋषि ऋतु ऋतिक ऋण उऋण ऋग्वेद

ऑन ऑफीसर ऑल ऑड ऑक ऑर्डर

संयुक्ताक्षरों में ि की मात्रा का प्रयोग

निर्देश : जैसा कि आप जानते ही हैं कि इनस्क्रिप्ट कुँजीपटल में ि की मात्रा अक्षर टाइप करने के बाद लगाई जाती है। इसी प्रकार संयुक्ताक्षरों में भी ि मात्रा को लगाने के लिए पहले पूरा संयुक्ताक्षर टाइप किया जाता है उसके बाद ही इस मात्रा को लगाया जाता है :

अवन्ति = अ व न ् त ि **निश्चित = न + ि + श + ् + च + ि + त**

TENDERS AND CONTRACTS ACCOUNTS PERSPECTIVE

TENDERS AND CONTRACTS

DO'S and DON'TS

AUTHORITY

Finance Code Vol. – I, Chapter- III

Engineering Code, Chapter – XII

Indian Contract Act – 1872

THE INDIAN CONTRACT ACT 1872

S. 2 (a) When one person (e.g., a vendor), signifies to another(e.g. to Railways),his willingness to do something, for obtaining the assent, he is said to make "proposal".

On acceptance, proposal becomes promise.

Tender (or offer) is a proposal, submitted in a particular format, in response to the invitation.

Tender Notice or "NIT" (Notice Inviting Tender) is not an offer. It is an invitation to parties who can submit tenders in response to such notice

WHY TENDER SYSTEM?

- Best value for public money,
- fair communication,
- healthy competition,
- development of vendors / service providers etc.

STAGES

- A. Preparation of tender papers.
- B. Invitation
- C. Receipt
- D. Appraisal and selection

PRECAUTIONS PRIOR TO INVITATION

- Have clarity about

(a)What exactly is to be done.
(b)Where it is to be done.
(c)Completion Period
(d)Extent of Assistance by Railways
(e)Realistic estimated cost, payment terms.
(f) Approved drawings.

CONDITIONS

- GCC \ IRS Conditions
- Special conditions should be carefully drafted.
- In case of a conflict, special conditions will prevail.

SINGLE TENDER

- Rarely
- Controlled variation
- No routine nature of work
- Selection of agency from the approved list of contractors
- Normally no extension (with adequate penalty)
- No post facto concurrence.
- Administrative approval from the Competent Authority
- TCM one level higher.

OPEN TENDERS

- Sanction before tender – Detailed Estimate got sanctioned. In urgent cases with approval of DRM/PHOD/GM.
- Preparation of tender documents – approved by Competent Authority before issue of tender papers.
- Schedule of Rates – Non schedule of rates got vetted by finance.
- If foreign currency involve – approval of Railway Board.
- Value of Tender forms
- Minimum eligibility criteria

TENDER NOTICE

Should state...

(a) Where and when blank tender form can be obtained.

(b) Cost of form and EMD.

(c) Place, date, time at which tenders are to be submitted and will be opened.

(d) Eligibility Conditions

(e) Approx. cost

ASSESSMENT

- **Validity**
- **Competition.**
- **Previous experience.**
- **Rate reasonability/ LAR**
- **Conditions by Railways.**
- **Conditions by Parties.**
- **Modifications in specifications**
- **Negotiations**

ROLE OF CONVENER

- **Has full knowledge of work, its special features, site conditions, tenderers ' credentials, time frame, urgency etc.**
- **Should explain to other members about background, rate analysis, implication of special conditions**

ROLE OF FINANCE MEMBER

should see that ...

- Tenders are in properly issued form.
- Signed by authorized persons.
- Correctly filled, corrections and over-writings are initialed by tender opening officials
- Opened correctly.
- EMD adequacy, acceptability.
- All conditions with financial implications are evaluated.
- Proper rate analysis has been prepared by the Convener.
- Sanction for the work and funds availability.
- Legal issue are examined.
- Consistent approach.

THIRD MEMBER

To ensure that :

- Rules are followed in general
- Reasonableness of rates is examined
- A consistent approach

RESPONSIBILITY OF TC AS A WHOLE

It is the collective responsibility of the TC to give definite recommendation, with reasons, bringing out all the known facts, background and valid apprehensions which have formed the basis for recommendations.

ROLE OF TENDER ACCEPTING AUTHORITY

Examine that

Work is essentially required and is covered by sanction and funds are available.

In case of Open Tender, full opportunity including sufficient notice has been given to all the tenderers.

The competition has been adequate.

Reasonableness of offers has been properly examined by the TC.

FUNCTION OF ACCOUNTS DEPARTMENT

HISTORICAL BACKGROUND

- 33 separate Railway administrations(4 by Govt. 5 by Indian states,24 by pvt. Companies)
- Headed by an officer of the ICS
- Assisted by 1 Secretary, 3 Deputy Secretaries, 4 under secretaries, 4 Assistant Secretaries
- 7 circles-Consulting engineer, Govt. examiner of accounts
- Accounting and auditing by AG(Public Works Department)

HISTORICAL BACKGROUND

- Oct 1901 Sir Thomas Robertson appointed as Special Commissioner of IR
- Report in 1903
- Setting up of RB-Chairman/2 members
- March 1905-Control given to RB
- Examiner of Accounts

HISTORICAL BACKGROUND

- 1908, Railway Finance Committee
- Independent of Department of Commerce and industry
- Post of Accountant General Railways was created
- Appointment of FC in April 1923by ACWORTH Committee 1921

HISTORICAL BACKGROUND

- Objective-Economy in expenditure of public money; coordination of Railway policy with general financial policy.
- Separation convention of 1924
- Evolution in five stages

HISTORICAL BACKGROUND

- Stage-I: Railway finance is part of finance department; accounting by AG
- Stage-II: Appointment of Financial Commissioner 1923
- Stage-III: Separation process complete in 1929, AG replaced by controller of Railway Accounts and Director of Railway Audit under Auditor General
- Beginning of IRAS

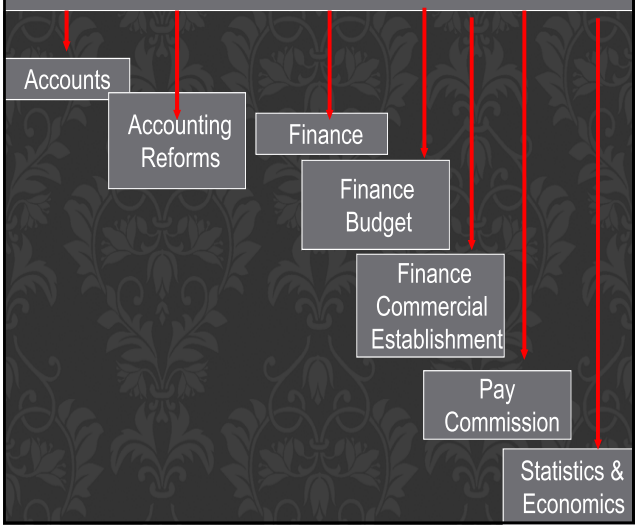
HISTORICAL BACKGROUND

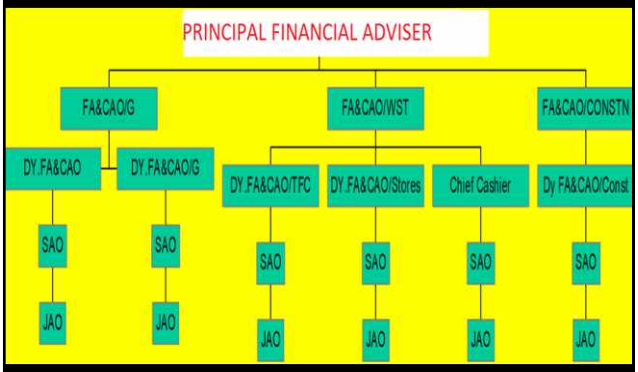
- Stage-IV: Railway accounts under GM, so Chief Accounts Officer reports to GM Wedgewood Committee(1937)
- Change of designation to FA&CAO
- Stage-V: distinct finance branch under FA&CAO

FINANCIAL COMMISSIONER

- Professional head; ex-officio Secretary to Govt. of India
- In event of disagreement with CRB can refer to Finance Minister
- Instructions to all Principal Finance Adviser (PFA)s on accounting and financial matters.

Financial Commissioner





DIVISIONAL ACCOUNTS ORGANISATION

Sr DFM

ADFM DFM ADFM

CHANGE OF DESIGNATION

- Headquarters
  - ß Junior scale-Assistant Financial Adviser
  - ß Senior scale-Senior Assistant Financial Adviser
- Divisions
  - ß Junior scale-Assistant Divisional Finance Manager
  - ß Senior scale-Divisional Finance Manager
  - ß JA-Selection grade-Senior Divisional Finance Manager

FUNCTIONS OF ACCOUNTS DEPARTMENT

- ∑ Keeping the accounts of the Railways in accordance with prescribed rules
- ∑ Internal check of transactions affecting the receipts of expenditure of the railways.
- ∑ Tendering financial advice
- ∑ Compilation of budget
- ∑ Other management accounting functions
- ∑ Ensuring financial propriety

MAIN DIVISIONS OF WORK

- Administration
- Booking and Compilation
- Budget
- Cash and Pay
- Compensation Claims
- Engineering Accounts
- Establishment accounts

MAIN DIVISIONS OF WORK

- Finance and planning
- Fuel Accounts
- Inspection(Executive and Accounts Officers)
- Expenditure accounts
- PF and Pension
- Traffic Accounts
- Stores Accounts
- Traffic costing
- Workshop accounts

INTERNAL CHECK OF EXPENDITURE

- *Pre-check and post-check*
  - All claims against the Railways should be pre-checked.
  - Payments from imprest, station earning, payments of certain classes of pay bills, master sheets, payments made in advance for purchase of stores may be post-checked.

INTERNAL CHECK

- Check of sanctions and orders
- Check of delegation of financial authority
- Check of all establishment bills
- Pre check and post check of expenditure
- Maintenance of PF accounts
- Check of pension payments
- Prior check of all contractor's bills, stores bills before passing the same for payment

INTERNAL CHECK

- Conducted with reference to rules and orders issued
- Codal provisions
- Cannons of financial propriety

For example while scrutinizing receipts

- Amount due to railways are correctly and promptly assessed and recovered
- All receipts are properly brought into account
- Correctly clarified/correctly apportioned
- Sanctioned by competent authority.

RAILWAY ACCOUNTS AS A COMMERCIAL ENTERPRISE

- Capital and revenue transactions
- Capital and revenue accounts
- Profit and loss accounts, balance sheet
- Prepared at close of financial year

RAILWAYS ACCOUNTS AS A GOVT. ENTERPRISE

- Govt accounts are maintained in 3 parts
- Consolidated Fund of India(Part I)Article 266
- Contingency Fund of India(Part II)Article 267
- Public Accounts of India(Part III)Article 268

CANONS OF FINANCIAL PROPRIETY

Expenditure should not prima facie be more than the occasion demands and every Govt. servant should exercise the same vigilance as man of ordinary prudence.

No authority should exercise its powers of sanctioning expenditure to pass an order directly or indirectly to its own advantage.

CANONS OF FINANCIAL PROPRIETY

Ø Public money should not be utilized for benefit of a particular person or section of community.

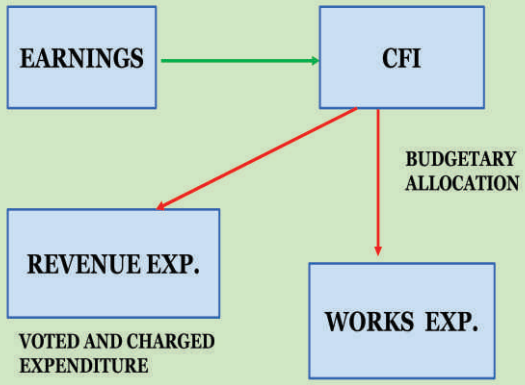
Ø Amount of allowances such as TA to be regularized so as to not to become a source of profit to the recipient.

INTRODUCTION TO RAILWAY ACCOUNTS - EARNING & EXPENDITURE

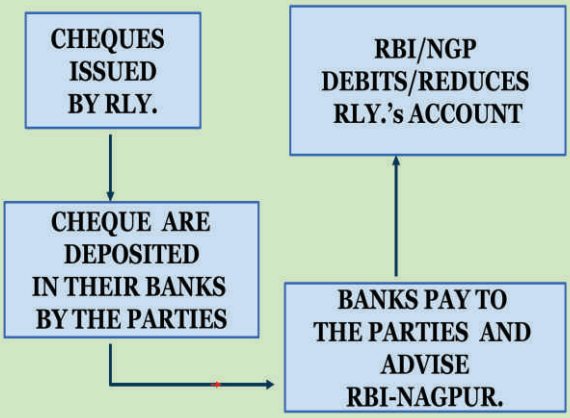
FINANCIAL STRUCTURE OF INDIAN RAILWAYS

- EXPENDITURE ACCOUNTAL
  - REVENUE EXPENDITURE
  - WORKS EXPENDITURE
- EARNINGS ACCOUNTAL

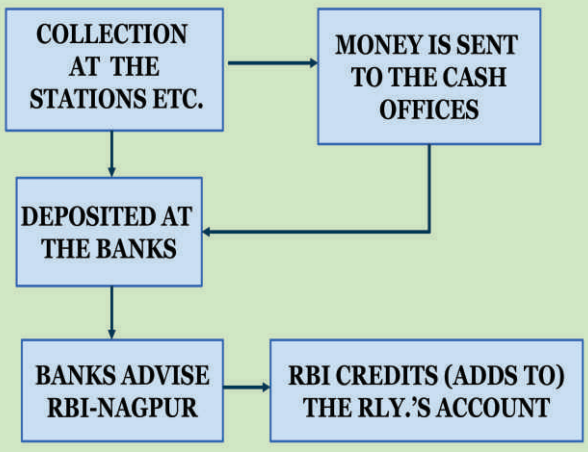
FINANCIAL STRUCTURE OF RAILWAYS & ITS RELATIONSHIP WITH THE GOVT. OF INDIA



ACCOUNTAL OF MONEY (Expenditure)



ACCOUNTAL OF MONEY (Earnings)



Commercial Accounting

Para 201 of A-1

- Commercial Accounting is done in a manner so as to show:
  - How capital is utilized
  - Position of debtors and creditors.
  - Whether it is gaining or losing.
  - The reasons for loss and gain.
  - Whether it is solvent or insolvent.

Government Accounts

Para 201 of A-1

- The main requirement of government accounting is to prepare a systematic record of receipts and expenditure.
- Indian Railways - **A DEPARTMENTAL COMMERCIAL ENTERPRISE.**
- Thus, we maintain accounts on commercial basis as well as on the basis of Government's requirements and then link the two through **"link accounts".**

Para 202 & 205 of A-1

- The accounts of a Railway prepared as in a **commercial unit** are known as **"Capital and Revenue accounts".**
- Accounts prepared for the **Government** are called **" Finance Accounts".**
- To facilitate the preparation of finance accounts, a detailed structure of accounts has been developed which synchronizes with the Government of India's Accounting.

CLASSIFICATION / STRUCTURE OF ACCOUNTS

ENABLES - DECISIONS BASED ON

- **COMPARISONS**
- **COST CONTROLS**
- **BUDGETING**
- **FORECASTS**

REVENUE EXPENDITURE

- **DEFINITION**
- **FROM WHERE DO WE GET MONEY FOR REVENUE EXPENSES?**

Relevant References (Para 701 of F-1)

S. N	Group	Demand No.	Demand Name of demand
I	Policy Formulation and Services common to all Railways	1. 2.	Railway Board Miscellaneous Expenditure (General)
II	General Superintendence and Services on Railways	3.	General Superintendence and Services on Railways
III	Repairs and Maintenance	4. 5. 6. 7.	Repairs and Maintenance of Permanent Way and Works. Repairs and Maintenance of Motive Power. Repairs and Maintenance of C & W. Repairs and Maintenance of plant and equipment.
IV	Operation	8. 9. 10.	Operating Expenses – Rolling stock and equipment. Operating Expenses – Traffic Operating Expenses - Fuel
V	Staff Welfare, Retirement Benefits and Miscellaneous	11. 12. 13.	Staff Welfare and Amenities. Miscellaneous Working Expenses. Provident Fund, Pension and other retirement benefits.
VI	Railway Funds	14.	Appropriation to Funds.

DEMANDS FOR GRANTS

1. Railway Board
2. Miscellaneous expenditure
3. RAILWAY ADMINISTRATION

(Demands 4,5,6,7 are for Repairs and Maintenance)

4. BUILDINGS & TRACKS
5. LOCOMOTIVES
6. CARRIAGES
7. PLANTS & EQUIPMENTS

(Demands 8,9,10 are for operations)

8. ROLLING STOCK
9. TRAFFIC DEPARTMENT
10. FUEL

11. STAFF WELFARE
12. MISCELLANEOUS EXPENSES.
13. PF, Pension & other retirement benefits.

14. Appropriation to funds.
15. Repayment of loan etc.

16. Works expenditure.

FROM 3 TO 13 ONE .

FROM 3 TO 14 TWE

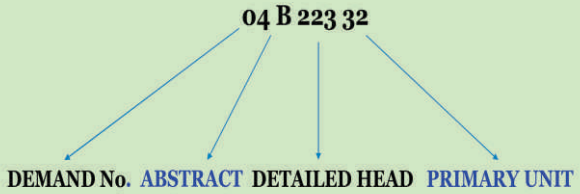
FROM 1 TO 15 REVENUE EXP

FROM 1 TO 16 TOTAL EXP

EACH DEMAND IS DIVIDED INTO :

MINOR HEAD
SUB HEAD
DETAILED HEAD
PRIMARY UNIT

EXAMPLE OF REVENUE EXPENDITURE CLASSIFICATION :



CLASSIFICATION OF WORKS EXP.

- PLAN HEAD
  - Sub Head
    - Detailed Head

2114 --PROCUREMENT OF ELECTRIC LOCOMOTIVE

2100—(Plan Head)-Rolling Stock

2110 (Sub Head)-Locomotives

2114 (Detailed Head) –Electric

WORKS EXPENDITURE

Depreciation Reserve Fund — **Ordinary Working Expenses**

Development Fund
Capital Fund
Railway Safety Fund — **Appropriation to Railway Funds from Surplus**

Rashtriya Rail Sanraksha Kosh

Central Road Fund
National Investment Fund
Nirbhaya Fund

DRF (DEPRECIATION RESERVE FUND)

- Started from 1.4.1924
- Provides for cost of replacement of assets.
- Amount on the basis of RCC's recommendations.
- Subject to vote of parliament

DF (DEVELOPMENT FUND)

- Started in 1946---- betterment fund and renamed as df from 1.4.1950.
- It has 4 components
- DF I passenger amenities
- DF II labour welfare
- DF III works for operational efficiency
- DF IV safety works

CAPITAL FUND

- Created in 1992-93
- Excess after appropriation to DF is credited to this.
- With a view to create infrastructure from internal resources.

RULES OF ALLOCATION OF EARNINGS

ABSTRACT X -

COACHING EARNINGS:
Passenger Fares, Luggage Charges, Parcel Collections, Live Stock By Passenger Trains Etc

ABSTRACT Y -

EARNINGS FROM GOODS TRAFFIC:
General Merchandise, Coal, Fertilizers, Livestock By Goods Trains, Trans-shipment Charges Etc.

ABSTRACT Z -

SUNDRY OTHER EARNINGS:
Collection Of Retiring Room Charges, Receipts From Catering Dept., Sale Proceeds Of Trees And Grass On Line, Rent Of Plots Given To Outsiders, Telegraph Earnings Etc.

BILLS IMPREST & AUDIT

INTRODUCTION

CODAL PROVISIONS

PROCESS & PROCEDURE

RECENT DEVELOPMENTS

Accounts Code Vol.1

1101.– The document through which a claim is preferred is referred to as a 'Bill' in this Code. Bills which are payable by the Railway are referred to as 'Bills Payable'.

1102. Bills Payable. – There are bills which are to be settled by actual payment of cash and bills which do not involve any payment or receipt of cash but are only to be adjusted in the accounts.

1103. All bills which are to be settled by payment in cash are to be registered on receipt in the Accounts Office and subjected to the required checks

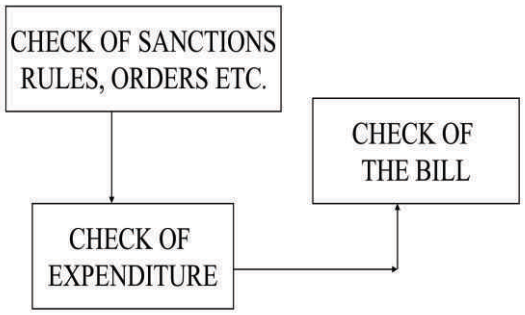
1104. Registration of Bills to be settled by Cash Payment. – All bills which are to be settled by cash payment should be entered in a register of Bills and should be numbered in consecutive order and the date of receipt should be entered upon them.

1106. Accounts Enfacement on Bills (for Bills to be settled in cash).

1107. Abstracts of Bills Passed. – The bills passed by the Accounts Officer for payment in cash or by cheque should be posted into the Abstract of Bills Passed

INTERNAL CHECK

MUST TO CHECK



801. Internal Check- The check exercised by the Accounts Officer on the financial transactions of the railway on behalf of the Railway Administration is called internal check.

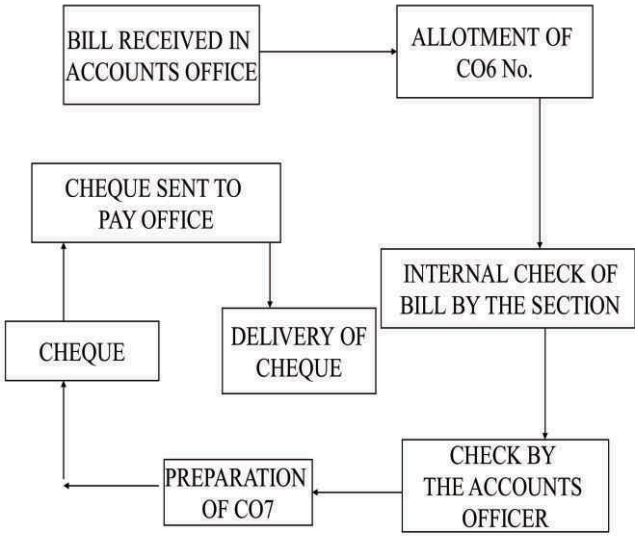
The internal check should be conducted with reference to-
(a) Rules and orders issued

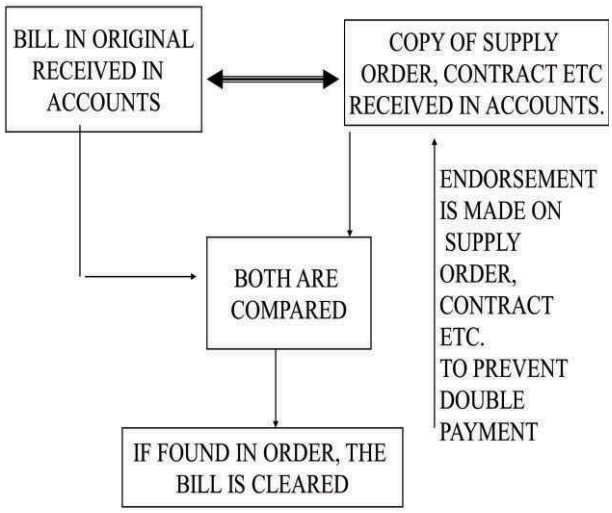
(b) the instructions contained in this and other Indian Railway Codes and any further instructions issued from time to time by the Railway Board; and

(c) the recognized standards of financial propriety vide paragraph 116 of Financial Code.

CANONS OF FINANCIAL PROPRIETY

- Expenditure should not be more than what the occasion demands.
- One cannot sanction expenditure for himself.
- Should not favour any group/community.
- Public Money should be handled as a person of ordinary prudence would handle his own money.





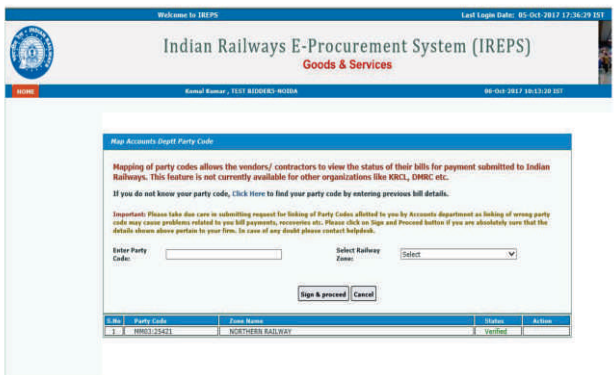
Bill Information System

Bill Passing Information

- Bill information is currently being displayed on IREPS website.
  - For all bills passed
  - IPAS pushes the bill data to IREPS
  - Vendor/Contractor needs to register on IREPS
    - Can see information about his bills
  - 10 Statement, CO6 is also generated through IPAS for monitoring

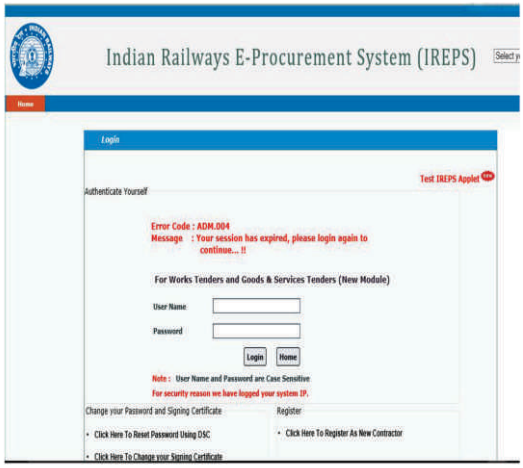
Bill Information on IREPS

Mapping Codes for Vendors and Contractors



Bill Information on IREPS

Login Screen



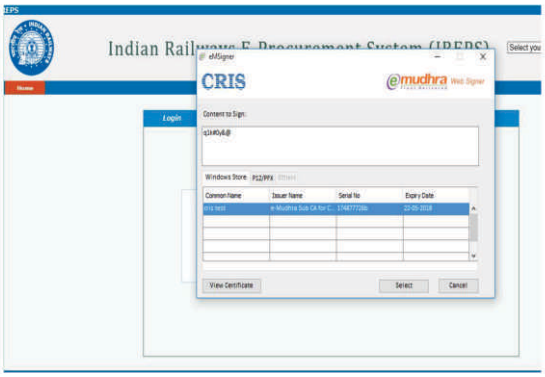
Bill Information on IREPS

Digital Signing



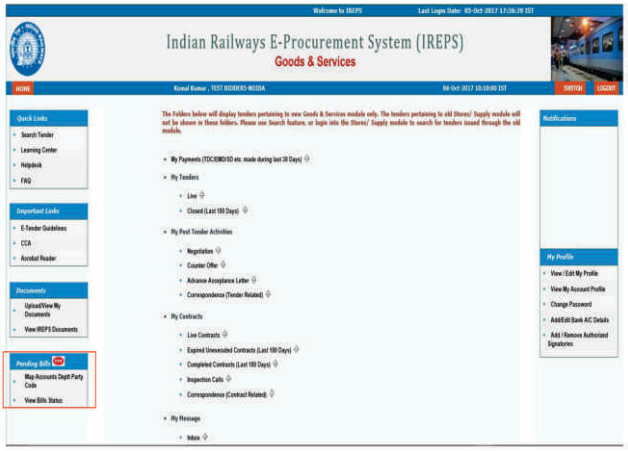
Bill Information on IREPS

Digital Signing-2



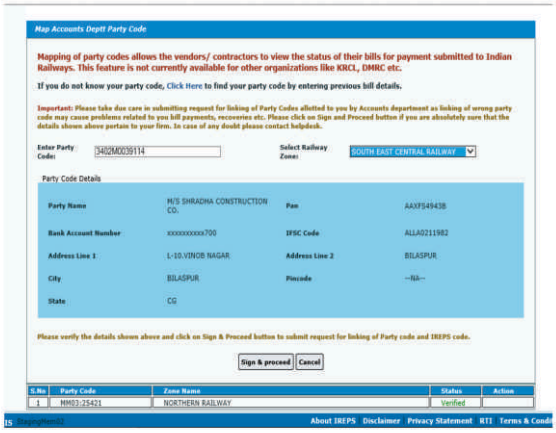
Bill Information on IREPS

Home Screen



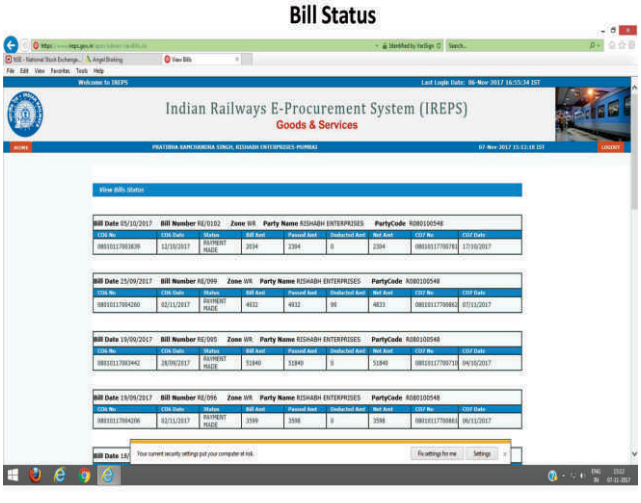
Bill Information on IREPS

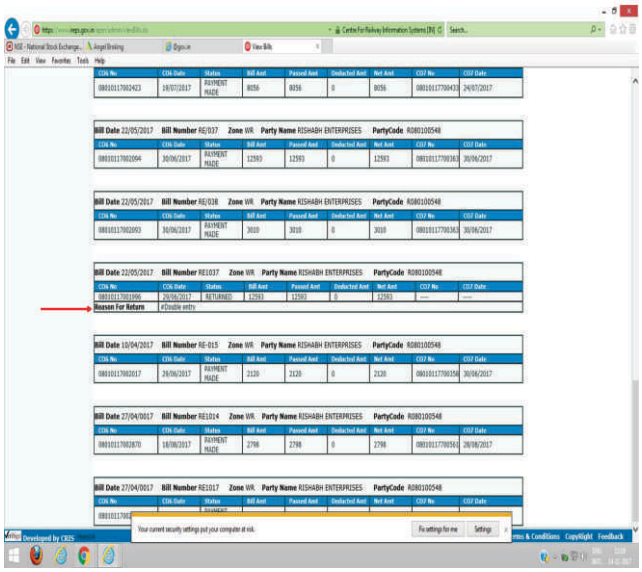
Mapping Codes for Vendors and Contractors - 2



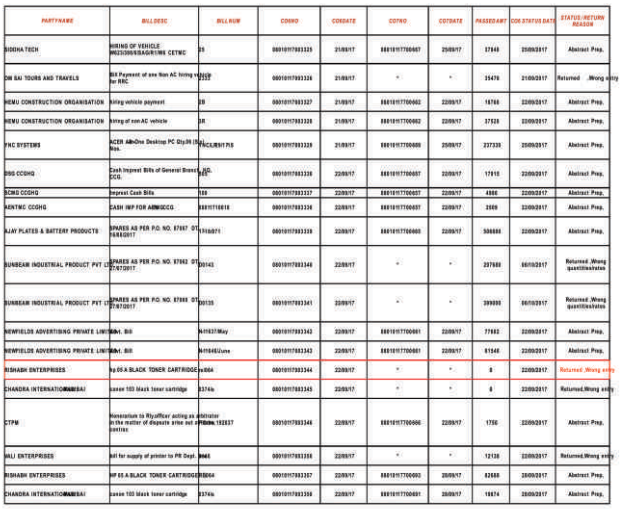
Bill Information on IREPS

Bill Status

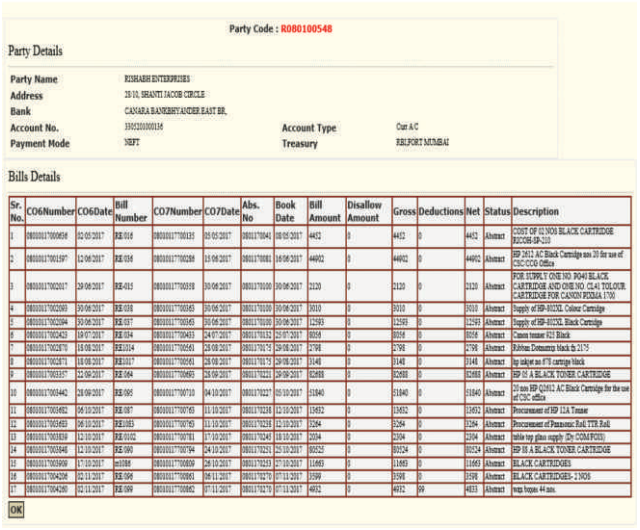




CO6 REGISTER - IPAS



PARTYNAME	BILLDESC	BILLNUM	CO6NO	CO6DATE	CO7NO	CO7DATE	PASSEDAMT	CO6 STATUS DATE	STATUS::RETURN REASON
SIDDHA TECH	HIRING OF VEHICLE MH25/5995/BAG/RIMS CETMC	05	0001017003335	21/09/17	0801017700607	25/09/17	37840	25/09/2017	Abstract Prep.
OM SAI TOURS AND TRAVELS	Bill Payment of one Non AC hiring v for RRC	1219	0001017003336	21/09/17	-	-	25470	21/09/2017	Returned ..Wrong entry
HEMU CONSTRUCTION ORGANISATION	hiring vehicle payment	28	0001017003337	21/09/17	0801017700602	22/09/17	16765	22/09/2017	Abstract Prep.
HEMU CONSTRUCTION ORGANISATION	hiring of non AC vehicle	1R	0001017003338	21/09/17	0801017700602	22/09/17	37520	22/09/2017	Abstract Prep.
PNC SYSTEMS	ACER Aih-One Desktop PC Dly3N (N Nos.	ACLUB1F715	0001017003339	21/09/17	0801017700600	25/09/17	237335	25/09/2017	Abstract Prep.
DSG CCDHQ	Cash Imprest Bills of General Branch CCG.	GB	0001017003340	22/09/17	0801017700607	22/09/17	17915	22/09/2017	Abstract Prep.
SCMG CCDHQ	Imprest Cash Bills	189	0001017003337	22/09/17	0801017700607	22/09/17	4986	22/09/2017	Abstract Prep.
KENTMC CCDHQ	CASH IMP FOR ADMN/CCG	0801017700618	0001017003336	22/09/17	0801017700607	22/09/17	3509	22/09/2017	Abstract Prep.
AJAY PLATES & BATTERY PRODUCTS	SPARES AS PER P.O. NO. 87687 DT. 19/8/2017	1316/871	0001017003338	22/09/17	0801017700600	22/09/17	506680	22/09/2017	Abstract Prep.
SUNBEAM INDUSTRIAL PRODUCT PVT LTD	SPARES AS PER P.O. NO. 87692 DT. 21/8/2017.	00143	0001017003346	22/09/17	-	-	237680	06/10/2017	Returned ,Wrong quantities/rates
SUNBEAM INDUSTRIAL PRODUCT PVT LTD	SPARES AS PER P.O. NO. 87688 DT. 19/8/2017	00135	0001017003341	22/09/17	-	-	399000	06/10/2017	Returned ,Wrong quantities/rates
NEWFIELDS ADVERTISING PRIVATE LIMITED	Advt. Bill	N/1637/May	0001017003342	22/09/17	0801017700601	22/09/17	77592	22/09/2017	Abstract Prep.
NEWFIELDS ADVERTISING PRIVATE LIMITED	Advt. Bill	N/1646/June	0001017003343	22/09/17	0801017700601	22/09/17	81540	22/09/2017	Abstract Prep.
RISHABH ENTERPRISES	hp 05 A BLACK TONER CARTRIDGE	ve/864	0001017003344	22/09/17	-	-	0	22/09/2017	Returned ,Wrong entry
CHANDRA INTERNATIONAL MUMBAI	canon 103 black toner cartridge	3374/a	0001017003345	22/09/17	-	-	0	22/09/2017	Returned,Wrong entry
CTPM	Honorarium to Riyaffiar acting as a Arbitrator in the matter of dispute arise out of Works 182317 contrac		0001017003346	22/09/17	0801017700606	22/09/17	1700	22/09/2017	Abstract Prep.
MILI ENTERPRISES	bill for supply of printer to PR Dept.	0865	0001017003358	22/09/17	-	-	12130	22/09/2017	Returned,Wrong entry
RISHABH ENTERPRISES	HP 05 A BLACK TONER CARTRIDGE	VE/864	0001017003357	22/09/17	0801017700602	25/09/17	82660	22/09/2017	Abstract Prep.
CHANDRA INTERNATIONAL MUMBAI	canon 103 black toner cartridge	3374/a	0001017003359	22/09/17	0801017700601	25/09/17	19874	22/09/2017	Abstract Prep.



Party Code : R080100548

Party Details

Party Name	RISHABH ENTERPRISES		
Address	20/10, SHANTI JACOB CIRCLE		
Bank	CANARA BANK(BHYANDER EAST BR.		
Account No.	330210100156	Account Type	Curr A/C
Payment Mode	NEFT	Treasury	RELFORT MUMBAI

Bills Details

Sr. No.	CO6Number	CO6Date	Bill Number	CO7Number	CO7Date	Abs. No	Book Date	Bill Amount	Disallow Amount	Gross	Deductions	Net	Status	Description
1	0801017000656	02/05/2017	RE/016	0801017700135	05/05/2017	0801170041	08/05/2017	4432	0	4432	0	4432	Abstract	COST OF 02 NOS BLACK CARTRIDGE RECHR-SP-210
2	0801017001597	12/06/2017	RE/036	0801017700288	13/06/2017	0801170081	16/06/2017	44602	0	44602	0	44602	Abstract	HP 2612 AC Black Cartridge nos 20 for use of CEC/CCG Office
3	0801017002017	29/06/2017	RE/035	0801017700359	30/06/2017	0801170100	30/06/2017	2120	0	2120	0	2120	Abstract	FOR SUPPLY ONE NO. 9040 BLACK CARTRIDGE AND ONE NO. CL41 TOLOUR CARTRIDGE FOR CANON PIXMA 1700
4	0801017002500	30/06/2017	RE/038	0801017700345	30/06/2017	0801170100	30/06/2017	3010	0	3010	0	3010	Abstract	Supply of HP-802XL Colour Cartridge
5	0801017002504	30/06/2017	RE/037	0801017700345	30/06/2017	0801170100	30/06/2017	12593	0	12593	0	12593	Abstract	Supply of HP-802XL Black Cartridge
6	0801017002423	19/07/2017	RE/034	0801017700431	24/07/2017	0801170132	25/07/2017	8016	0	8016	0	8016	Abstract	Canon tonner 821 Black
7	0801017002870	18/08/2017	RE/1014	0801017700561	28/08/2017	0801170175	29/08/2017	2795	0	2795	0	2795	Abstract	Ribbon Datasmp black lb 2175
8	0801017002871	18/08/2017	RE/1017	0801017700561	28/08/2017	0801170175	29/08/2017	3148	0	3148	0	3148	Abstract	hp inkjet no 678 cartrige black
9	0801017003357	22/09/2017	RE/064	0801017700693	25/09/2017	0801170221	29/09/2017	82688	0	82688	0	82688	Abstract	HP 05 A BLACK TONER CARTRIDGE
10	0801017003442	28/09/2017	RE/065	0801017700710	04/10/2017	0801170227	05/10/2017	51840	0	51840	0	51840	Abstract	27 nos HP Q2612 AC Black Cartridge for the use of CEC office
11	0801017003482	06/10/2017	RE/087	0801017700745	11/10/2017	0801170238	12/10/2017	13452	0	13452	0	13452	Abstract	Procurement of HP 11A Tonner
12	0801017003483	06/10/2017	RE/1083	0801017700745	11/10/2017	0801170238	12/10/2017	3264	0	3264	0	3264	Abstract	Procurement of Panasonic Roll TTR Roll
13	0801017003858	12/10/2017	RE/0102	0801017700781	17/10/2017	0801170240	18/10/2017	2204	0	2204	0	2204	Abstract	table top glass supply (Dr COMP/OH)
14	0801017003848	12/10/2017	RE/080	0801017700794	24/10/2017	0801170251	25/10/2017	80524	0	80524	0	80524	Abstract	HP 05 A BLACK TONER CARTRIDGE
15	0801017003909	17/10/2017	ml/088	0801017700809	26/10/2017	0801170253	27/10/2017	11693	0	11693	0	11693	Abstract	BLACK CARTRIDGES
16	0801017004208	01/11/2017	RE/094	0801017700861	08/11/2017	0801170270	07/11/2017	2598	0	2598	0	2598	Abstract	BLACK CARTRIDGES- 2 NOS
17	0801017004280	02/11/2017	RE/099	0801017700845	07/11/2017	0801170270	07/11/2017	4932	99	4932	99	4833	Abstract	wep hopes 44 nos.

OK

The common Fields in both the Reports are HIGHLIGHTED

IPAS (Excel Report – CO6 Register & Party Details)	IREPS (Vendor Bill Status)
Party Name	Bill Date
Party Code	Bill No.
Co6 Number	Zone
Co6 date	Party Name
Bill No.	Party Code
Co7 Number	Co6 No.
Co7 Date	Co6 Date
Abstract No.	Status
Book Date	Bill Amount
Bill Amount	Passed Amount
Disallowed Amount	Deducted Amount
Gross Amount	Net Amount
Deductions	Co7 Number
Net Amount	Co7 Date
Status/Reason for return	Reason for return
Description	

Bill Passing Information – In Progress

- Bill Details to be submitted online by Executive
  - Executive submits bill details online to IPAS
  - Bill Registration Date is recorded
  - Physical Bill to be send for passing within 48 hours
  - If Physical bill not received within 48 hours, registration is cancelled

CASH IMPRESTS

Fin.Code.1050.--An imprest is a standing advance of a fixed sum of money placed at the disposal of an individual to meet the following types of expenditure

(1) Petty office expenses.

(2) Cost of raw materials for the diet of indoor patients of hospitals.

(3) Emergent charges which cannot be foreseen.

1051 The amount of an imprest must not be larger than is absolutely necessary.

1052 Subject to the provisions of the previous paragraph, the General Manager of a railway will have full power to sanction imprests and as per SOP Provisions delegated by GM.

1053 The number of imprests should not be multiplied unnecessarily.

1054. The responsibility for making proper arrangements for the safe custody of the imprest money rests entirely with the imprest holder and he must at all times be ready to produce the total amount of the imprest in vouchers or in cash.

1055. The imprest account should be kept in duplicate. The account should be closed ordinarily on the 27th of each month and recouped before the end of the month so as to ensure as many of the month's transactions as possible being included in the account.

- Certain Important Aspects

i) It is a suspense (intermediate) account; the expenditure is booked to the final head, later.

i) It is revolving in nature.

i) Subject to post-check by Accounts Department.

iv) To be spent only for the purpose for which it is created.

v) Imprest should be reviewed periodically with a view to reduction, surrender or enhancement etc.

Acc.Code.1701. **Object of Inspection. -** One of the functions of the Accounts Office is to inspect on the spot the source documents maintained in the Executive Offices which are not sent to the Accounts Office for check. The internal check is exercised in an Accounts Office on the bills and returns etc. prepared in the prescribed forms by the Executive offices. Many of the original records on which these bills and returns etc. are based are retained in the office where these originate.

Periodicity of Inspection

Para 1704 of A-1

• Material at site of works	Once a year
• Stores as Imprest	Once in 2 years
• Tools & Plants	Once in 3 years
• Material and Depot	
– A category	Once in 6 months
– B category	Once in 1 year
– C category	Once in 2 years
– D category	Once in 1 year

• Inspection of Divisional Offices	Once in 2 years
• Engineering Department	Once a year
• First Inspection of	
– Construction office	Within 3 months

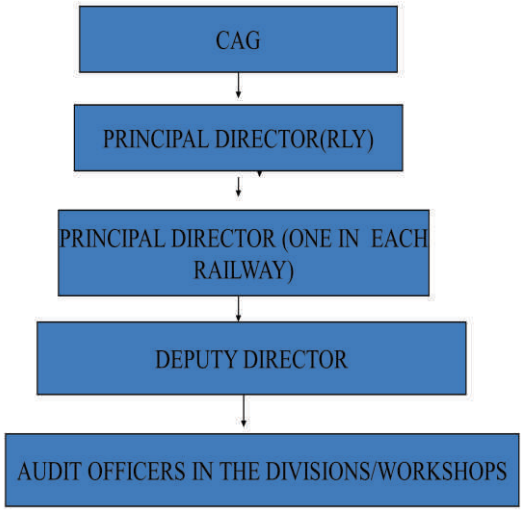
- All subdivisions should be inspected at least once in 2 years.

Inspectorial Staff

• Inspection of Stores	ISA, SV
• Inspection of Station	TIA
• Inspection of Offices	SO's

Fin.Code.909 Railway Accounts- Separation from Audit.–
As stated in para 104, the process of separation of accounting and auditing functions on the Railways was completed in 1929 as a sequel to one of the recommendations of the Acworth Committee. Under this arrangement, the Comptroller and Auditor-General has been relieved of the responsibility for compiling the accounts of Railway department. His responsibility for statutory audit of the accounts of Indian Railways is the same as that for the other departments of the Government of India.

ORGANISATION



913 The Additional Deputy Comptroller and Auditor-General (Railways), and ex-officio Director of Railway Audit, is responsible for audit of-

(i) sanctions, having financial effect, accorded by Government of India other than those pertaining solely to an individual railway or railway accounts office

(ii) sanctions regarding financial rules and general orders issued by the President which are not of a general nature but are applicable exclusively to the Railway Department

(iii) tenders invited and accepted by the Railway Board for purchase of materials; and

(iv) accounts maintained in the office of the Railway Board (Accounts Branch).

916 Communications from Audit.-Ordinarily, the results of statutory audit are communicated through-

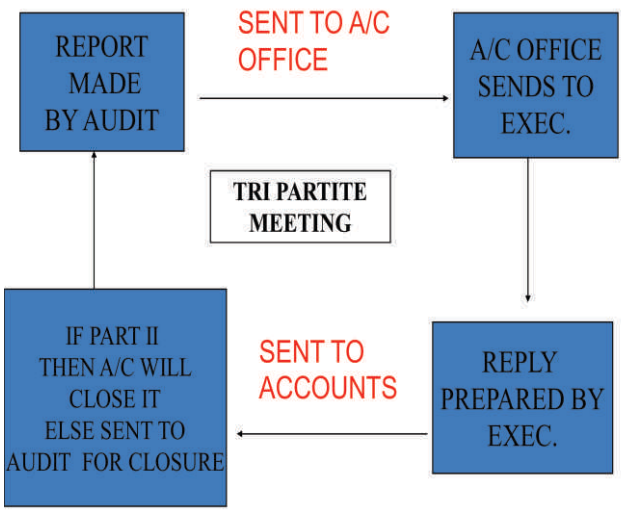
(1) Specific reports of the more important and serious irregularities discovered in the course of audit of accounts and departmental offices and station records.

(2) Audit notes detailing minor irregularities discovered in the course of audit of accounts office records.

(3) Inspection reports showing the results of audit of the initial records of executive offices and stations.

COMMUNICATION OF OBJECTIONS

- AUDIT NOTES ---- Deal with the monthly test audits.
  - PART I CLOSED BY AUDIT
  - PART II CLOSED BY ACCOUNTS
- AUDIT INSPECTION REPORTS
  - PART I CLOSED BY AUDIT
  - PART II CLOSED BY ACCOUNTS
- SPECIAL LETTERS
- DRAFT PARAS, PROVISIONAL PARA, AUDIT PARAS



918 Audit Notes and Inspections Reports.-An inspection report consists of two parts, Part I dealing with the more important matters and Part II dealing with the rest, containing minor routine matters.

The final disposal of Part II of the audit notes and inspection reports, whether on the accounts or executive offices, rests with the Accounts Officer, and no formal reply to the Chief Auditor is necessary. The disposal of such audit notes and inspection reports should, however, be made available to the Chief Auditor.

Replies to Part I of inspection reports and audit notes and specific reports on the more important irregularities should be sent to the Chief Auditor as soon as possible showing clearly the action taken thereon.

924 All important cases coming to notice of Audit during inspections or regular audit which, in the opinion of the Chief Auditor, merit inclusion in the Report of the Comptroller and Auditor-General are, ordinarily, brought to the notice of the Railway Administrations through special letters.

925 The Chief Auditors sends the draft paragraphs to the General Manager. The General Manager should send the reply to the draft paragraph to the Chief Auditor, duly approved by the Ministry of Railways,(Railway Board), within eight weeks.To enable the Railway Board to approve the draft reply prepared by the Railway Administration, the General Manager should furnish the additional information to the Railway Board along with the proposed reply to draft paragraph.

927 The Report of the Comptroller and Auditor General of India is presented to the Parliament, generally during the Budget session, where it is taken up for consideration by the Public Accounts Committee consisting of members of Lok Sabha and Rajya Sabha.

Thank You

BOOKS & BUDGET

Railways

- A Departmental undertaking
- A Commercial enterprise

Differences: Between Govt. Accounting & Commercial Accounting

Government Accounts	Commercial Accounts
Governed by the requirements of the constitution and instructions of Parliament through its committees	Governed by Standard Accounting practices and conventions and the law of the land such as Company, Law, Income Tax Acts. Etc.
Purpose is to determine as to how as little money as possible may be taken from the tax payer to maintain the activities	Purpose is to show how as much can be earned as possible consistent with the requirements of the business
Generally kept on single entry system	Maintained on double entry basis
Maintained on cash basis	Maintained o accrual basis
Statement of receipts and expenditure is only prepared	Trading account, manufacturing account, profit and loss account and balance sheet are prepared.
There should be a systematic record of all receipts and expenditure classified appropriately	There should be a record of the usage of capital, profit loss, source of profit/loss and indication about the solvency of the company

Railway Account 'as a commercial enterprise'

- Distinction between Capital and Revenue transactions
- Show details of capital Exp.
- Revenue Expenditure
- Expenditure on Funds
- Balance Sheet
- Profit and Loss

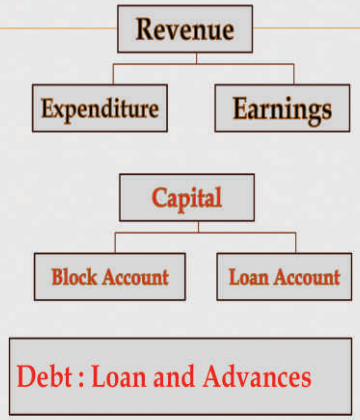
Railway Accounts as a Department of the Government

- Government Accounts are maintained in 3-parts
  - Part-I: Consolidated Fund of India: article-266
  - Part-II: Contingency Fund of India: article-267
  - Part-III: Public Accounts of India: article-268

Linking Heads of Accounts

- Suspense's
- Traffic Suspense
- Demands payable
- Demands Recoverable

Structure of Railway Accounts : Part-I



Public Account of India

- Debt
- PF
- Serve Funds
- SD, EMD, etc
- Remittances
- All adjusting heads or transfer between different accounting units

Compilations of Accounts

- Collect and bring to account all receipts and disbursement of the accounting unit
- Transfer to other accounting units items pertaining to them originating in his unit
- Adjust in books of Accounts items of expenditure or receipts transferred from other units.

Continued…..

- Make a detailed Account of his accounts unit monthly and annually
- Prepare relevant finance reports for M/S

General & Subsidiary Books

- Book – keeping are to recording financial transactions
- General Books:
  - General Cash Book
  - General Cash Abstract Book
  - Journal
  - Ledger

General cash book

- Posted daily only 1 cash book
- General cash abstract book
- Summarise of receipt & payments
  - Monthly
- Journal
  - Rectification of mistakes
  - Transfer transaction

Subsidiary Books

- Register of works
- Revenue Allocation Register
- Register of Earnings
- Suspense Register

Monthly Account Current

- Approximate Accounts current
- Actual Accounts Current

Annual Accounts

- Capital & Revenue Accounts
- Finance Accounts

BUDGET
MERGER

MERGER OF RAILWAY BUDGET WITH UNION BUDGET

POSSIBLE IMPLICATIONS

Separation Convention

- Separated from 1924:
- Acworth Committee Recommendations
- Rlys' income/expenditure: major part of GoI
  - Union budget needed stability
  - Rlys: Commercial character, needed autonomy
  - Achieved thru' Investments treated as "Loan"
  - Assured contribution by Rlys (Dividend) to GoI
  - FC to represent MoF on Rlys

Situation

- How have Rlys done as a Commercial Utg?
  - Pricing: Is Parliament's approval necessary?
  - How pricing done? Administered pricing:
  - How costs computed? Are the costs recovered?
  - Economics
  - Accounting Cash vs Accrual / Actuarial Estimation
  - Interest or Dividend? How MoF treats it?
  - Income and Dividend as "Non Tax Revenue" of GoI
  - Rlys' performance Vis a vis Deficit of GoI
  - Budget at a Glance 2016-17

Bibek Debroy Committee's Recommendations

1) Merge the Budget

2) Have Commercial Accounting

Can they co-exist?

Why or why not?

What happens to .....

FC's post created due to separation,

IRAS as a separate service, apart from IAAS/ ICAS

CT Venugopal Chair?

Accrual Accounting

Operating Ratio....

Funds like

- DRF,
- DF,
- Capital Fund
- Debt Servicing Fund?

Merger: Stated reasons and consequences

Stated Reasons:

Depoliticize: Will it be Effective?

Size in the pie now much smaller.

Saving of time and effort

Consequences, intended / uninteded

Diluted commercial focus due to disconnect between Earnings and Expenses

Can lead to complacency / indifference

Dividend Payment dispensation: Zero-sum-game

Common Appropriation Bill

Single Demand for Railways

Accrued liability will be now borne by GoI

Deficit of GoI affected

Accrual Accounting may get dampened

Viability metrics would get weakened further

More Possible Reasons

- VII PC Staff Cost Increase
- Sustainability as a Commercial Enterprize
- Accrued Libility, particularly Pensionary
- Bahaviour of Fares / Freight
- Compulsions?
- Possible solutions?
- Altruistic?

THANK YOU

STORES ACCOUNTS

FUNCTIONS OF STORES ACCOUNTS

A. **Financial Scrutiny and Discharge of liabilities.**
   i. Certification of indents.
   ii.Maintenance of Fund Register.
   iii.Vetting and check of Purchase order.
   iv.Check of Stores Bills and arranging payments for supplies.
   v.Maintenance of Purchase Registers to ensure accountal of receipt of material.

B. **Maintenance of Priced Ledgers.**
   i.Watching of continuity of vouchers for receipt and issues i.e. Receipt Note and Issue Notes.
   ii.Processing and pricing of vouchers for preparation of Priced Ledger. *Now, it is done on computers*.

Contd.....

C. **Recoveries of cost of stores issued** :-
   i. Raising of debits against various departments of home Railways-other Railways and other Government deptt. for issues.
   ii.Recoveries of cost of material sold.

D. **Maintenance of Accounts and submission of Returns** :-
   i.Accountal of Stores transactions under various heads of accounts.
   ii.Maintenance of subsidiary registers.
   i.e. Deposit Misc.-Misc. Adv. Stores in transit etc. Stock Adjustment A/c., Stores Imprest.
   iii.Submission of Returns i.e. Annual Statement of Stores Transactions, Capital and Revenue Account, Finance Account, Appropriation Account, Statement of Adjustment and Clearance of balances from Stock Adjustment Account.

Contd.....

E. **Inventory Control**
   Under all heads of A/cs. for Purchases :-
   Inventories for all the items at a given point of time should not be so accumulated that it leads to blockage of capital and is not so less that it is not able to meet the requirement of Departments/Production.
   A, B & C Analysis.

F. **Check over physical balances** :-
   i.Physical check of stores balances and correct accountal of receipts etc.
   ii.Adjustment on account of discrepancies etc., found during physical verification.
   iii.Ensuring correct stocking as well as existence of measures for preventing pilferage-losses or wastage.

MISC.:-

Stores Finance

i. Assistance to Stores Deptt. for preparing Stores Budget.
ii. Concurrence of Proposals.

PURCHASE SUSPENSE

- Purchase Ledgers are maintained firmwise alphabetically.
- Debit are posted from supplier's bills passed by Stores Bill Section and Debit TCs received from other Railways.
- Credit are posted from R.O.s.
- Outstanding items at the end of the month are carried forward to next month.

STORES SUSPENSE LEDGER

- P.L. CARD POSTING (PRICED LEDGER)

Issues :
   i)Issue to Workshop.
   ii)Issue to other Railways.
   iii)Issue to Private Parties i.e. Scrap Sale, Sale for export to RITES/IRCON etc.
   iv)Issue to staff (Scrap Wood/Empties etc.)
   v)B.T.R.(Book Transfer Receipt).

Receipt :
   i) Receipt from Private Parties-Purchase through Trade, DGS&D etc.
   ii) Receipt from other Railways i.e. Purchase through TCs (R.O.s).
   iii) Receipt from Workshop –Manufactured Items.

Balances : Balances in the PL Cards are calculated at each issue and receipt. Book Average Rates are calculated at each receipt.

SALE ACCOUNT

Sale Account is maintained for :-

A) OTHER RAILWAYS
B) PRIVATE PARTIES (SCRAP)
C) RITES/IRCON (EXPORT) ETC.

Allocation of Sales

7141Sales to Rly.Emp.
7142Sales to Outside parties.
7143Sales to Other Rlys.
7144Sales to other Govt. Deptt.
7145Export Sale
7146Sale to Public Undertakings.

SALE TO OTHER RAILWAYS.

a)When material is dispatched.

7143(Sale A/c.)	Debit.
7160 (Stock)	Credit.

b) On receipt of acceptance.

Other Railways	Debit
7143	Credit

SALE TO PRIVATE PARTIES

a)	7142 (Sale A/c.)	Debit
	7146	
	7160 (Stock)	Credit

b) On receipt of Cheque (Payment).

Remittance into Bank.	Debit
7142	Sale A/c.Credit.
7146	

Accounting entries for Stores Transactions

- **RECEIPT ENTRIES**

I. Receipt of material from Private Parties (Purchases)

7160 (Stock)	Dr.	
7110, 7137, 7128, 7123 etc.		Cr.

II.Receipt of material from other Railways.

7160 (Stock)	Dr.	
7124		Cr.

III.Receipt of material from Workshop (Manufactured Items).

7160		Dr.
7211(WMS)		Cr.

IV.Return Stores.

7160 (Stock)	Dr.	
7211 (WMS)	Cr.	

V. On payment to suppliers :-

7110, 7137, 7128, 7123 etc.		Dr.
Cheque Issued		Cr.

VI. On acceptance of debit from Railways.

7124	Dr.	
Other Railway	Cr.	

ISSUE ENTRIES

I. Issue of material to Workshop (WMS).

7211	(WMS)	Dr.
7160		Cr.

II. Issue to other Railways (Sale)

Other Railways A/c.		Dr.
7160		Cr.

III. Issue to Private Parties (Scrap Sale) IRCON, RITES and Saff.

7146, 7142(Sale A/c.)		Dr.
7160		Cr.

STOCK ADJUSTMENT ACCOUNT

All financial/physical irregularities discovered during the course of stock verification by the Stock Verifiers of Accounts Deptt. and also by the departmental officer (Stores Officers), or due to any other reasons are adjusted through Stock Adjustment Account.

The allocation and the reasons of irregularities are :-

7181 Difference between the ledger balances and ground balances discovered by the Stock Verifier.
7182 Difference between the ledger balances and ground balances discovered during departmental stock verification.
7183 Differences arising out of revaluation of stocks due to market fluctuation of Purchase Stores.
7184 Differences arising out of revaluation of stocks due to market fluctutions of shop manufactured stores.
7185 Differences in book value and value realised in Sales.
7186 Loss in classification of new stores as second-hand /scrap.
7187 Other losses i.e. breakage, leakage or losses on Transfer.
7188 Rounding off.
7189 Loss due to enemy action.

Entries :-

i. The cost of all shortages/losses is debited to Stock Adjustment Account and credited to Stock i.e. 7181, 82, 83 etc. Dr.
7160 Cr.

ii. Cost of excesses is credited to Stock Adjustment Account and debited to Stock.

Note : Debits and credits to this head are cleared by contra entry to Stock except adjustment against Revenue abstracts.

CLASSIFICATION OF EARNING & EXPENDITURE

Finance accounts

- Finance accounts in Indian Railways are the statement of receipts and expenditure duly supported by a number of schedules in a financial year. Some statements (Block accounts, Capital at charge etc.) contains expenditure since beginning.
- Schedule contains information of expenditure shown in statement of receipts & expenditure of the financial year.
- Different schedules for revenue and capital receipts as well as revenue and capital expenditure are prepared.

Qualities of financial accounting

Financial accounting is the preparation of financial statements that can be consumed by the public and the relevant stakeholders. When producing financial statements, they must comply to the following:

- Reliability
- Relevance
- Materiality
- Understandability
- Comparable

Finance Accounts statements

- Account current: revenue and works expenditure and revenue & capital receipts
- Railway Revenue receipts
- Capital at charge Statement
- Debt head Report
- Statement of transfer without financial adjustment
- Block Account
- Profit and Loss Account
- Balance Sheet
- Operating ratio

- Contd:-

- Depreciation Reserve fund Account
- Development fund Account
- Accident Compensation Safety and Passenger Amenities Fund Account
- Results of Stock Verification and Revaluation of Stores
- Statement of income tax/service tax
- Statement of calculation of dividend payable and subsidy due from General Revenue
- Statement of loans and advance granted to co-operative societies

- Contd:-

- Statement showing Major head wise Details of Pay and Allowances
- Details of Working Expenses by Minor head
- Statement showing details of Loans and Advances granted to Co-operative Societies under Head 6425 -Loans for Co-operative
- Statement showing Investment of Central Government (Railways) in shares of Railway men's Consumer Co-operative Societies etc.
- StatementshowingGuaranteesgivenbyUnionGovt.underArticle 292oftheConstitutionofIndia
- Statement showing investment of Central Govt. (Railways) in shares of Statutory Corporations, Public Sector Undertakings etc.

Statements of Accounts

- Revenue Expenditure
- Works Expenditure
- Sundry Earning
- Revenue schedule
- Capital Schedule
- Appropriation Account

Relevance of Classification

- At different stages- IRPSM
  Proposal (16, 33,36,53)
  Estimate
- E-Tendering
- Contract Management
- Budgeting
- Accountal of earning/advances from various sources (IT database)

Operating Ratio
(434-F-I)

- A statement showing percentage of working expenses to earnings in respect of the entire system indicates operating ratio. This statement should contain brief notes explaining the variation in the percentage for the year as compared with that for the previous year. The percentage should be worked out on the following basis.-
- (a)Total Gross Earnings –total earning excluding suspense
- (b) Total Gross Working Expenses-total ordinary working expenditure (3 to 13 excluding suspense) plus appropriation to DRF & Pension Fund
- Percentage =(b) x 100/ (a).

REPORTS

- Railway Convention Committee
- Report of RCC (March 2018)

- Reports of CAG

Misclassification

1st Report of 2018

GST TRAINING FOR INDIAN RAILWAYS



Modules for Training

1. Overview of GST
2. Input Tax Credit
3. IT Architecture
4. Transactional Issues
5. GST Audit

If user have any queries at their end, it may please be addressed to the following email ID with complete facts, figures and information.

v.prakash@nic.in

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Module 1:
Overview of GST

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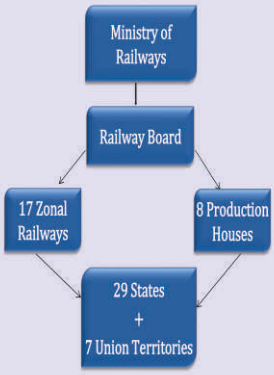
GST and Indian Railways- Complex Structure



Challenges:

1. IR exercise control over its operations through **various Zonal Railways.**
2. One State may fall within the jurisdiction of more than one Zone.
3. Books and records are maintained **zone wise.**
4. GST allow **state wise** registration.
5. Representation to MOF for allowing Zone based registration in vain .

Actions taken:

1. IR took registration in all States and Union Territories except Lakshwadeep.
2. Nodal officer were appointed by RB for all GSTINs.

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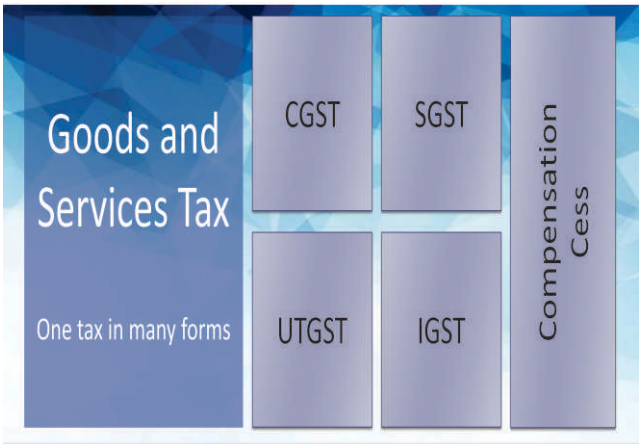
Various Taxes under GST



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Meaning of Supply

Supply means
Any sale, transfer, barter, exchange, etc. + in the course or furtherance of business+ for consideration

Includes
- Import of services for a consideration
- Supplies without consideration (Schedule I)

Excludes
- Activities not to be treated as Supply (Schedule III)
- Activities undertaken by Central/ State Govt/ Local authority as notified - not to be treated as Supply

Major Supplies by IR

Description	Rate of Tax
Transportation of Passenger	5%
Transportation of Goods	5%
Renting of Retiring Rooms	0/12/18/28%
Way Leave Charges	18%
Sale of Rail Coaches	5%
Intra IR supply of goods	Exempt
Sale of Unclaimed Goods/ Scraps	As applicable on Goods



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Schedule I - Supply without a consideration

Schedule I

- Permanent transfer/ disposal of business assets *where input tax has been availed on such assets*
- Supply between related persons or *distinct persons specified in section 25* when made in the course or furtherance of business
  Gift not exceeding fifty thousand rupees in value in a financial year by an employer to employee to not to be treated a supply of good or services or both
- *Supply of goods*
  1. By principal to agent where agent undertakes to supply such goods on behalf of the principal
  2. By agent to principal where agent undertakes to receive goods on behalf of principal
- Importation of services by taxable person from related person or any of his establishments outside India, in the course or furtherance of business

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Schedule III - Activities or transactions which are neither Supply of Goods Nor Supply of Services

Employment	Courts	Funeral
• Services by an employee to an employer in the course of or in relation to his employment	• Services by any court (including district court, high court and supreme court) or tribunal established under law for the time being in force	• Services of funeral, burial, crematorium or mortuary including transportation of the deceased

Elected Representatives/ Government officials	• Functions performed by an MP, MLA, members of panchayats, municipalities and local authorities • Person who hold post under constitution • Duty by any person as chairman/member/director in a body established by CG/ SG or local authorities
Actionable Claim	Other than Lottery.
Sale of Land and Building	Sale of land and, subject to 5(b) of Schedule II, sale of building

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Nature of Supply

- **Inter-state Supply** → IGST
  - Location of Supplier and Place of Supply are in-
    - Two different States
    - Two different Union territories
    - A State and a union territory
  - Special Economic Zone
  - Any supply in taxable territory not being an intra-state supply and not covered elsewhere
- **Intra-state Supply** → CGST + SGST/UTGST
  - Location of Supplier and Place of Supply are in-
    - Same States
    - Same Union territory

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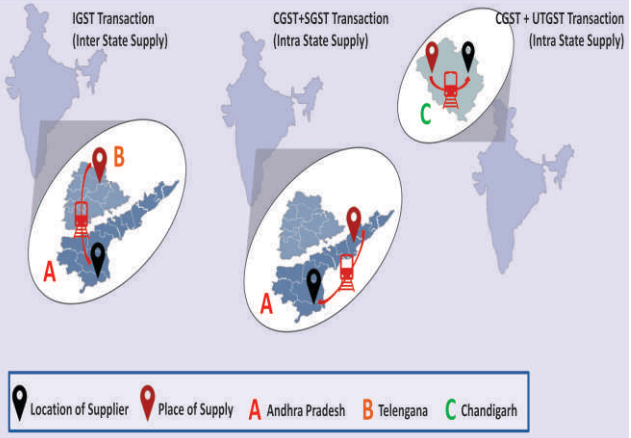
Applicability – CGST, SGST, UTGST and IGST



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Composite & Mixed Supply

Composite Supply

- Supply comprising of two or more **taxable** supplies
- Naturally bundled
- Supplied in conjunction with each other
- One of which is a principal supply

✓ Supply shall be treated as a supply of such principal supply

(e.g. Goods + Transportation + Transit Insurance)



Mixed Supply

Supply comprising of two or more individual supplies made in conjunction with each other for a single price, **not being a composite supply.**

✓ Supply shall be treated as a supply of that particular supply which attracts the highest rate of tax

(e.g. Pack containing juices, chocolates, soft drinks, fruits and chips)



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Tax Charge Mechanism

Forward Charge Mechanism

- Forward charge is the mechanism where supplier of goods and/or services is liable to discharge tax liabilities.

Reverse Charge Mechanism

- Reverse charge is the mechanism where recipient of goods and/or services is liable to discharge tax liabilities.

Tax Charge Mechanism on Major Supplies by IR

S. No.	Supply	Tax Charge Mechanism
1	Transportation of Passengers	Forward Charge
2	Transportation of Goods	Forward Charge
3	Renting of Retiring Rooms	Reverse Charge*
4	Way Leave Charges	Reverse Charge*
5	Sale of Rail Coaches	Forward Charge
6	Sale of Scraps	Reverse Charge

* Summary on Reverse Charge Applicability on Renting of Immovable Property by IR in next slide

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Summary with respect to Renting of Immovable Property

Supply of Renting of Immovable Property by Indian Railways-

(1) To **registered business entities** is covered under **Reverse Charge**

(2) To **unregistered business entities** is to be taxed under **Forward Charge**

(3) To **non business entities** is **Exempt** from levy of GST

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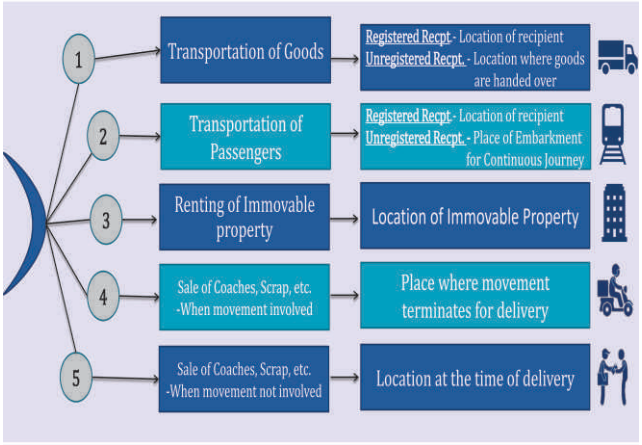
Place of Supply



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Invoice Issuance – Time limit



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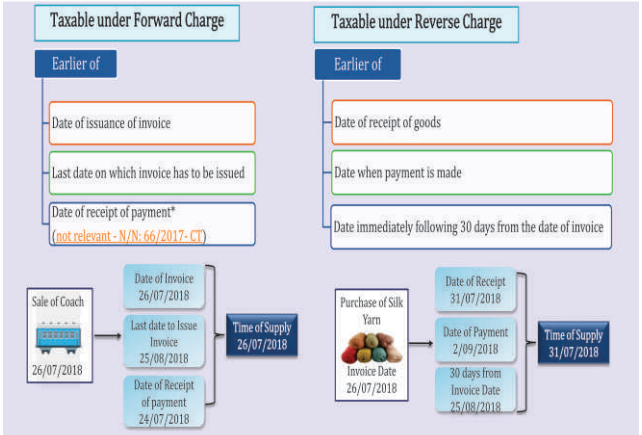
Time of Supply for Goods



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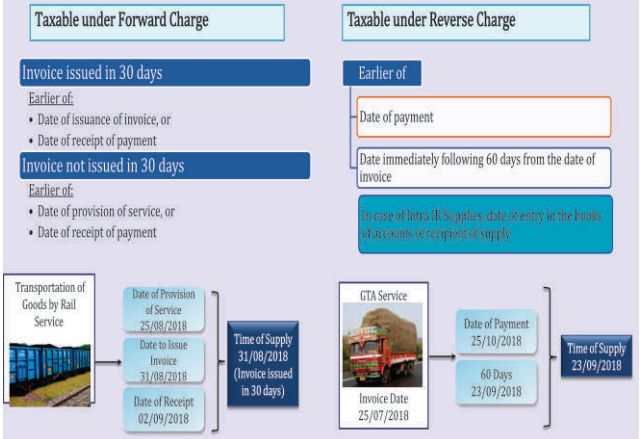
Time of Supply for Services



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Types of Documents under GST

S. No.	Documents	Purpose of Documents	IR Specific Documents
1.	Invoice	Taxable Supply	RR, Tickets (AC/First Class Coaches)
2.	Bill of supply	Exempt supply	RR, Tickets (Non AC Coaches)
3.	Delivery Challan	Transportation of goods without issue of invoice	Delivery Challan
4.	Debit Note	Amend the value of tax invoice on the higher side	Excess Fare Ticket
5.	Credit Note	Amend the value of tax invoice on the lower side	Cancelled RR, Tickets
6.	Advance Receipt voucher	On receipt of advance	Advance Receipt voucher
7.	Refund Voucher	On repayment of advance received due to non supply	Refund Voucher

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Details to be mentioned in Invoice

Name, Address and GSTIN of Supplier	Consecutive Serial no. (unique for a FY)	Date of Issuance of Invoice	Place of supply (State Name) & code	Place of Delivery (if different from Place of Supply)
HSN Code of Goods/Accounting code of services	Recipient Details - B2B: Name, Add. & GSTIN B2C: Name, Address (State Name & Code) – If taxable value < 50,000/-	Description of goods/services	Quantity in case of goods and unit	Taxable value of goods/ services
Rate of Tax	Amount of tax charged	Total value of goods/ services	Tax payable on Reverse Charge Basis	Signature/Digital Signature

*Line Item Reporting : Invoice containing more than one tax rate / one HSN code to be mentioned separately

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Module 2
Input Tax Credit

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What is Input Tax Credit?

IR shall, subject to certain conditions, be entitled to take credit of input tax charged on any supply of goods or services to IR which are used or intended to be used in the course or furtherance of its business and the said amount shall be credited to the electronic credit ledger of IR.

We can understand the concept of ITC with the help of following example-

Suppose: IR buys tools, raw materials costing Rs 15,75,000/- including GST of Rs. 75,000/- to manufacture a railway coach
Rs. 75,000/- GST paid by IR is available as ITC

→ IR manufactures Railway Coach and supplies it to IRFC charging Rs 1,05,00,000/- including GST of Rs. 5,00,000/-

→ GST Liability: Rs 5,00,000/-
ITC available: Rs. 75,000/-
IR liable to pay only Rs 4,25,000/- in cash to the government as balance liability of Rs 75,000/- can be paid by utilising ITC

- GST paid by IR on its procurements is available ITC subject to conditions.
- ITC availed by IR can be utilised against its GST liability arising on account of outward supplies.
- However, ITC availed can not be utilised against all kind of GST liabilities. There are certain restrictions in the manner of utilization of ITC to pay off GST liability.

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Relevant Definitions

- **"Input"** means any **goods other than capital goods** used or intended to be used by a supplier in the course or furtherance of business.

Major Input (Goods) procured by IR

S. No.	Inputs (Goods)	ITC Credit Eligibility		
		Full Credit (Flag T4)	Partial Credit (Flag C2)	No Credit (Flag T1/T2/T3)
1	Parts used to **manufacture** coaches/wagons for sale to IRFC e.g. Transformers, Steel, Wires, Bearings, etc.	√		
2	Parts used as **repair & maintenance** of coaches/wagons			X*
3	Cements etc. for construction of Immovable Property e.g. Bridges			X
4	Medicines			X

* No credit is being availed as credit cannot be utilised for rail transportation

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Relevant Definitions (Cont.)

- **"Input service"** means any service used or intended to be used by a supplier in the course or furtherance of business

Major Input Services procured by IR

S. No.	Inputs (Goods)	ITC Credit Eligibility		
		Full Credit (Flag T4)	Partial Credit (Flag C2)	No Credit (Flag T1/T2/T3)
1	Cleaning/Housekeeping Services at Station or Coaches		√	
2	Services in relation to construction of Immovable Property e.g. Staff Quarters			X
3	GTA Services		√	
4	Services used for manufacturing of caoches		√	
5	Works contract services for Laying of Railway Tracks		√	

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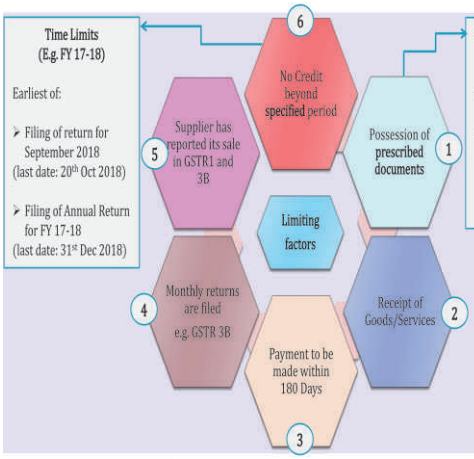
Conditions for availment of ITC by IR

Time Limits (E.g. FY 17-18)

Earliest of:

- Filing of return for September 2018 (last date: 20th Oct 2018)
- Filing of Annual Return for FY 17-18 (last date: 31st Dec 2018)



- Tax Invoice issued by supplier of goods or services
- Debit note issued by supplier
- Purchase invoice issued by IR on supply of goods or services by an unregistered person on which IR is liable to pay tax under reverse charge

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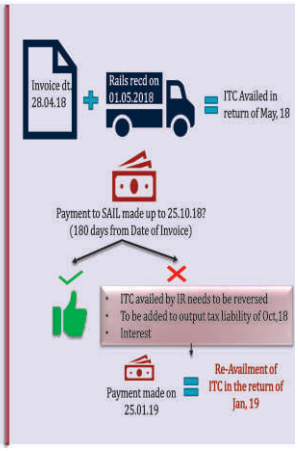
Conditions for availment of ITC (Cont.)

IR fails to pay to the supplier of goods or services the amount towards the **value of supply along with tax payable** within a period of **180 days** from the date of Invoice.

ITC availed on such invoices is to be reversed by adding it in the output tax liability, along with interest.

IR can re-avail credit once payment of consideration towards value of supply along with tax portion is made to supplier.

Takeaway: Re-credit option available but interest paid would be a cost



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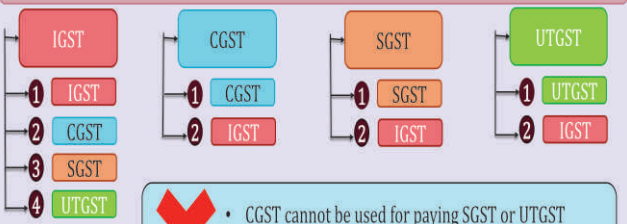
Manner of Utilization of ITC for Tax Payment

The amount of ITC available in the ledger shall be utilized in the following order of utilization:



- CGST cannot be used for paying SGST or UTGST
- SGST or UTGST cannot be used for paying CGST

As per The Central Goods and Services Tax (Amendment) Bill, 2018 passed by Lok Sabha, the Government may, on the recommendations of the GST Council, prescribe the order and manner of utilization of the ITC on account of IGST, CGST, SGST/UTGST, as the case may be, towards payment of any such tax.

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Blocked Credits [Section 17(5)]– IR Specific

- Car / Taxi taken on hire
- Food and beverages Except provided at stations / in trains
- Works Contract Service, Goods or services used in construction of any Immovable Property *
- Inputs used for providing Transportation Services**
- Membership of a clubs, health and fitness centers
- Motor Vehicles & other conveyances except when used for-
  - Transportation of passengers (Taxable)
  - Transportation of goods

*"construction" includes re-construction, renovation, additions or alterations or repairs, to the extent of capitalization, to the immovable property
**5% GST rate on transportation service by IR provided no credit is taken in respect of inputs. (N. No. 11/2017- CT(R) dated 28.06.2017)

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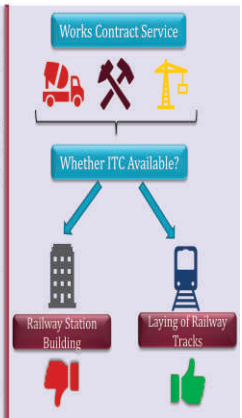
ITC on Works Contract Service for laying of Railway Track

- ITC is not available in respect of the **works contract services** when supplied for construction of **immovable property** such as Retiring Rooms, etc.
- However, there is no bar to ITC in respect of works contract services supplied for construction of an immovable property which is in the **nature of a plant & machinery** such as Laying of Railway Tracks.
- "Plant & Machinery" has been defined to mean -
  - apparatus, equipment, and machinery fixed to earth by foundation
  - used for making outward supply
  - exclude land, building or any other civil structure
- Railway tracks consisting of the **rails & sleepers** is **"Plant"** and ITC of works contract service of laying railway track will be **eligible.**



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ITC Utilization-Check List

Sl. No.	Nature of goods / services	ITC Flagging	Utilization ITC (Y/N)	Remarks
1.	Goods procured for capital works such as manufacturing of coaches, wagons, locomotives for sale to IRFC	T4 – full Credit	Y	To be utilized only for discharging GST liability on outward supply of finished goods to IRFC on payment of 5% GST and not to be utilised for discharging GST liability on Goods and Passenger transportation services by respective GSTIN.
2.	Services provided by various contractors for capital works such as manufacturing of coaches, wagons, locomotives for sale to IRFC	T4 – full Credit	Y	No restriction.
3.	Goods procured for use in repairing wagons, coaches, locomotives etc.,	T3-No Credit	N	ITC pertains to these purchases not to be utilised for discharging GST liability on Goods and Passenger transportation services by respective GSTIN.
4.	Services received at workshop in relation to procurement of goods for repair of coaches, wagons, locomotives, etc.	C2 – Partial Credit	Y	No restriction

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ITC Utilization-Check List (Cont.)

Sl. No.	Nature of goods / services	ITC Flagging	Utilization ITC (Y/N)	Remarks
5.	Services provided by various contractors in relation to repair of wagons, coaches, locomotives, etc.	C2 – Partial Credit	Y	No restriction
6.	Procurement of goods and services for creation of new assets which are in the nature of Immovable Property (other than plant and machinery) like Bridges, Tunnels, Roads, Buildings etc.	T3- No Credit	N	Not to be availed. Respective accounting codes can be mapped as T3 – No credit in order to avoid wrong availment of credit on these line items
7.	Procurement of goods relating to Plant and Machinery like Railway track, Signalling and Telecommunication equipments, lathe machines, cranes.	T3- No Credit	N	Not be utilized for discharging GST liability on Goods and Passenger transportation services by respective GSTIN
8.	Procurement of works contract services, repair and maintenance services, etc. relating to laying of railway track (Plant and Machinery)	C2- Partial Credit	Y	Can be utilized for discharging GST liability on Goods and Passenger transportation services by respective GSTIN

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ITC Utilization-Check List (Cont.)

Sl. No.	Nature of goods / services	ITC Flagging	Utilization ITC (Y/N)	Remarks
9.	Goods Transport Agency services	C2- Partial Credit	N	In this case, both the consignor and consignee, being Indian railways, GST on GTA services to be discharged by IR. If the GTA service provider discharges GST under forward charge(12%) then IR is not liable to pay GST to the department under RCM but in any case, tax paid can be availed as credit.
10.	Taxi hire by IR at different locations by the staff / officers for any use.	T3 – No Credit	N	ITC on Rent-a-cab service is covered under the negative list as per Section 17(5) of CGST Act, 2017 and hence no credit is available on this service. Respective accounting codes can be mapped as T3 – No credit in order to avoid wrong availment of credit on these line items.
	All goods and services received and used exclusively for making exempt outward			

Apportionment of ITC- Flag C2 Credits

- Where credit is attributable to goods and/or services which are used partly for taxable supplies and partly for non-taxable supplies, credit is restricted to so much of the input tax as is attributable to taxable supplies.
- Flag C2- Partial Credit- It comprises of credits of such goods and/or services which are used partly for taxable supplies and partly for non-taxable supplies. Ineligible portion of ITC needs to be reversed using the following formula-

$$\text{Ineligible ITC} = \text{Amount of credit flagged under C2} \times \frac{\text{Exempt Supplies}}{\text{Taxable Supplies} + \text{Exempt Supplies}}$$

Exempt Supplies includes-
- Supplies which are exempted from tax e.g. Intra IR transfer of goods, Transport of passengers in non air-conditioned coach
- Supplies not covered under GST Act e.g. Diesel, etc.
- Supplies which are liable to RCM. e.g. Renting of Immovable Property, etc.
- Supplies which attracts nil rate of tax.

✓ Capturing of exempt supplies is necessary for computation of correct amount of eligible credit.
➢ Non compliance will attract interest

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Apportionment of ITC - Capital Goods

Exclusively used for providing exempted supplies	Exclusively used for providing taxable supplies	Used for making partly exempt & partly taxable supplies
No credit	Full credit	Full credit in the month of purchase Subsequent reversal of ITC towards exempt supplies

$$\text{Amount to be Reversed monthly} = \frac{\text{Amount of ITC taken}}{60\text{ (5 years deemed as useful life)}} \times \frac{\text{Exempt Turnover of relevant month}}{\text{Total Turnover of relevant month}}$$

➢ Amount to be reversed along with applicable interest to be added to output tax liability during every tax period

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Module 3
IT Architecture

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IT Architecture

Inward Side - IPAS
i.- 100% automation to record inward data
ii.- Exhaustive data capturing

Outward side - PRS/PMS/IREPS/UTS/FOIS/ Manual utility
i.- 100% supplies were not automatically captured
ii.- Manual Utility for station level manual data
iii.- Majority exempt supplies remains uncaptured.

Role of CRIS
i.On time data collation
ii. Data Sharing though URL
iii. Need based MIS Reports

NSDL - the GSP Service provider
i.Processing of data received from CRIS
ii.Validation check of data before filing of returns
iii.Assistance in finalizing data for filing GSTR-3B Return

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IT Architecture

IPAS
PRS / UTS
PMS
FOIS
IREPS
MANUAL UTILITY

IPAS
-System Software to record inward transactions
-100 % data captured
- ITC also captured
-ITC flagging is the key feature

Manual Utility
- For recording division and station level data
- Captures all postal bagggage and MR transactions.
- Exempt supplies not fully captured.

PRS- Passenger Reservation
PMS- Parcel management
FOIS- records good transactions
IREPS- caters procurements through tender

NSDL
- Processing of data
- Validation check to avoid last moment rush
- Generate data in respective returns
- Share GSTIN wise information with Zonal Railway

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IT Architecture- How is it helping?

- Avail eligible credit on time and save unnecessary stress on working capital
- Partial credit flagged as ITC Flag C2- Compute eligible ITC correctly
- Less burden on the users to clear last moment rush
- Avoid delay in filing of return
- Can save transaction cost: Interest and late fees
- Assistance in GST Audit



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Manual Utility

Internet based: www.gst.indianrail.gov.in



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Login Screen



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GST Utility Main Page



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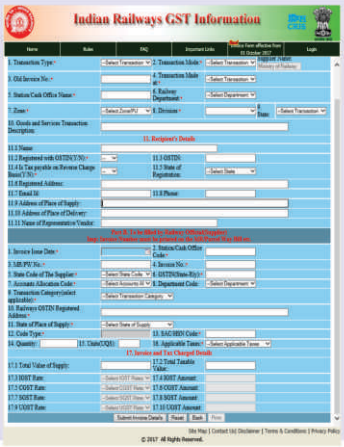
Add Invoice

- New Invoice
- Advance
- Refund
- Adjustments
  - Debit
  - Credit



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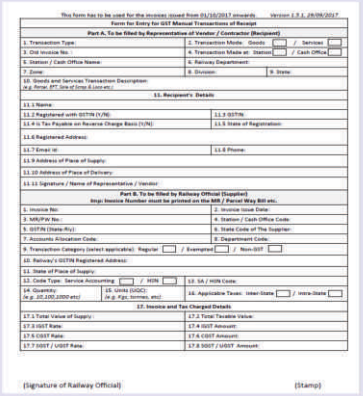
Input Form for Manual Utility



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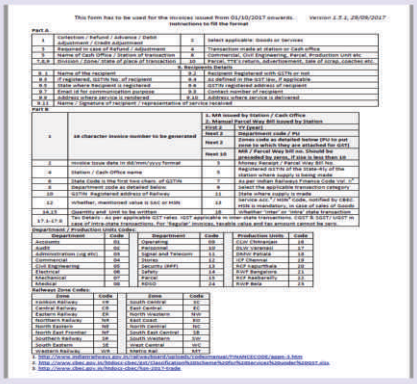
Instructions to fill up the Utility



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Key Functionalities PU bulk upload



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Key Functionalities

PU - Bulk Upload for Input Tax Credit (IPAS)

UPLOAD THE FILE	
The date in the uploaded file should be in 'DD/MM/YYYY' format	
Acc Year Month(YYYYMM)	201807
Choose the file To Upload:	Browse...
	Upload File
Click here to download format of file	

* Note :- For PU Units which are not in IPAS System

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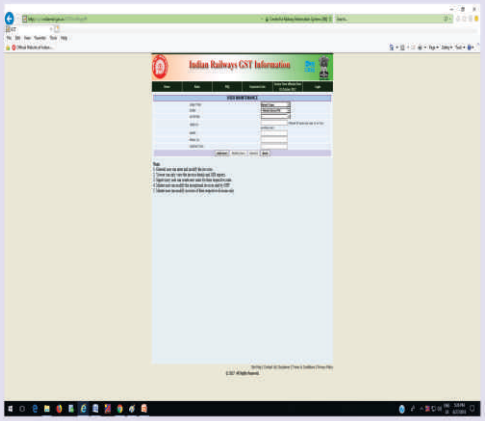
User Management User IDs Creation, modification



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Rejected data by NSDL for view & Download



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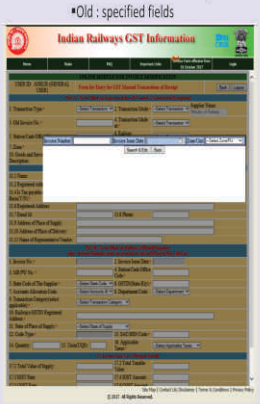
Invoice Modification

- Current : all fields except tax liability
- Old : specified fields



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MIS Reports





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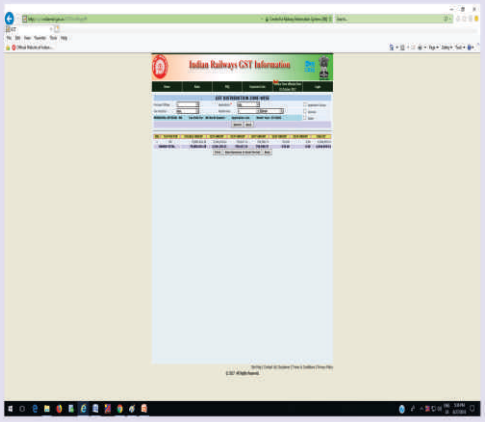
Tax liabilities Zone wise Dr/Cr adjustments `



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Key GST related Links

Purpose	Website
GST awareness at Central Board of Indirect Taxes and Customs	http://www.cbic.gov.in/
GST CBEC FAQ	https://gstawareness.cbec.gov.in/faq
GST FAQ link at Railways	http://www.indianrailways.gov.in/GST/FAQs.pdf
GST related Railway Board Circulars	http://www.indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,1,304,366,498,1891
GST User Manual	https://gst.indianrail.gov.in/GSTFrontPage/pdfs/GST_User%20Manual%20_Aug2017.pdf

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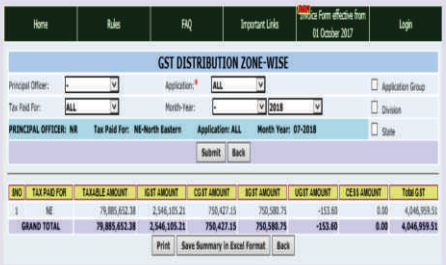
Tax liabilities Zone wise

Dr/Cr Adjustments:



Summary of Earning and Tax collected by NR on behalf for NE in July 2018

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Challenges faced in IT structure

Incorrect practice	Impact on operations	Action taken
Wrong GSTIN of Vendors mentioned in the RR	- Rejection by GSTN portal (validation error) - Denial of credit to the recipient - Interest cost on late reporting of details	- RR details with correct invoice were furnished in the subsequent months
Inward supply was wrongly flagged	- Lead to excess availment of credit - Short payment of taxes	- Flagging finalised w.r.t. HSN/Description vis-a-vis Accounting unit code - Ineligible portion for July-March month reversed
Exempt supply not exhaustively captured	- User did not record exempt supply data - Incorrect determination of ITC reversal ratio	- Instruction to capture exempt supply exhaustively for July- March
Wrong capturing of Description	- Wrong ITC flagging - ITC eligibility inaccurately captured - HSN heading used as description is misleading	- Instruction for correct description circulated - Text bar provided in the system software to capture description.

Challenges faced in IT structure

Incorrect practice	Impact on operations	Action taken
Amount of tax not as per the prescribed tax rates	- Rejection by GSTN portal - Mismatch with the counter party data	- System updated to check the reasonable accuracy of the tax amount as a product of taxable value and tax rate.
Classification of tax	- Rejection by GSTN portal - Restriction on availment of credit	- Determining the nature of transaction based on the place of supply rules embedded in the system

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Compliance made easy

1. Legal provisions have been converted into business/functional rules for CRIS System.
2. Endeavour was to ensure 100% compliance through system itself.
   - Necessary fields were added/retained in the system to ensure completeness and reasonable accuracy of the information captured.
   - GSP validation were inserted to minimize the number of transactions in reverse flow data.
   - Field level validation checks were embedded in the system to check validation errors like; capturing incorrect structure of GSTIN.
   - Mapping Account allocation codes with HSN/Tax rates to ensure accurateness of the tax amount to avoid mismatching
   - System automated to determine the correct classification of tax.

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Non Compliance Interest/Fees/Penalties

- Important that all the transactions are correctly captured to avoid last moment hustle.
- Non reporting/ Non compliances attracts serious consequences

Late fee
Late fee of up to Rs 100 per day can be levied in case of delay in filing of return

Interest
Up to 24% Interest can be recovered on the short payment of tax

Penalty
Penalty equivalent to the amount of tax short paid can be imposed



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Action Points

1. ITC on invoices/ debit notes pertaining to FY 2017-18 to be availed by 30.09.2018, if missed.
2. Any mismatch of inward supplies with the vendor to be corrected latest by 30.09.2018
3. Any excess/short reversal of credit should be corrected latest by 30.09.2018 to avoid penalties. Interest @ 18% p.a. will be applicable on the differential amount payable by IR.
4. Submission of reconciliation statement along with annual return by 31.12.2018, reconciling the value of supplies declared in the return and details furnished in audited annual financial statement.

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Module 4 – Transactional Issues

4.1 - Outward Supplies

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Outward Supply-Way Leave Charges

Grant of Way Leave Facility/ Easement Right on Railway Land.

The Nature of supply of way leave facility: Renting of Immovable Property Service

Renting of Immovable Property Service by Railways	
Registered business entities	Reverse charge-payable by Business entities (w.e.f. 25.01.2018 vide Notification No. 3/2018 – Central Tax (Rate))
Unregistered business entities	Forward charge-payable by Railways (Sr. No.5 Notification No. 13/2017-Central Tax (Rate)dated 28.07.2017)
Non business entities	Exempt from levy of GST (Sr. No. 7 Notification No. 12/2017-Central Tax (Rate)dated 28.07.2017)



www.indianrailways.gov.in/railwayboard/uploads/directorate/accounts/downloads/Compendium_2018/RBA_No_6_2018.pdf

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Outward Supply-Zero Rated Supply

Zero rated Supply means:

Export of goods/services; or
Supply of goods/services to SEZ Unit/SEZ Developer

Railways making supply to SEZ Unit (Vedanta)=Zero Rated Supply

Endorsement in Invoices issued

ITC for Zero rated supply is available to Railways

Supply to Vedanta (SEZ Unit)=Zero Rated Supply. Railways can opt for either of:

- Pay GST and claim refund
- OR
- Execute LUT/Bond without payment of GST

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http://www.indianrailways.gov.in/railwayboard/uploads/directorate/traffic_comm/Rates-Letters/2018/SEZ_28032018.pdf

Outward Supply-Haulage Service

Railway provides service of:

- Haulage of the wagons to Container Train Operator (Gateway Rail Freight Limited) &
- Maintenance of the wagons.

Haulage charge constitutes 95% while 5% charges are reckoned towards maintenance.

Haulage service → Haulage Charge + Maintenance Charge

Haulage + maintenance= Single supply or multiple supplies (composite supply)?

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Sale of Goods

Sale of Scrap amounts to supply of goods

Place of supply for sale of scrap to a registered person is determined based on the GSTIN of the recipient.



Auction of unclaimed goods

Auction of unclaimed goods amounts to sale of goods by Railways.

Railways to raise an invoice charging GST on goods (rate and HSN depending on nature of goods) and discharge GST liability on forward charge basis.

In case old and used goods are auctioned by Railways, the registered recipient will be liable to discharge GST under reverse charge.

Auction of goods = supply

- New goods- forward charge
- Old and used goods- RCM

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www.indianrailways.gov.in/railwayboard/uploads/directorate/accounts/downloads/circular/2017/RBA_152_2017.pdf

Wharfage and Demurrage charges

Demurrage:
charge for the detention of any rolling stock after the expiry of free time.

Wharfage:
charge on goods for not removing them from the wharf after the expiry of free time.

Demurrage and wharfage charge-

an integral part of supply of transportation service or a separate supply?



Practice of charging GST on first RR by Railways

http://www.indianrailways.gov.in/railwayboard/uploads/directorate/traffic_comm/downloads/compendium_Goods_Traffic/GST_08032018.pdf

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Outward Supply-Catering Service

Catering service in trains

Transportation in Rajdhani + food & beverage (IRCTC as licensee)
Vs.
Transportation in other trains + food and beverage (other licensee)

Whether a Composite supply/Mixed supply?
Rate of Tax?

Supply of food and beverages on platform

Supply of food in train





Supply of food on platform

Before 26.07.2018
[clarificatory order-31.03.2018]

After 26.07.2018
5% Rate
No ITC

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www.indianrailways.gov.in/railwayboard/uploads/directorate/traffic_comm/Comm_Cir_2018/CC_21_2018.pdf

GST Exemptions pertaining to specific supplies made by Government

Service Provider: Government

Service Recipient:
- Government
- Government Entity
- Governmental Authority
- Any Other Person

SERVICES

- Services related to any function entrusted under **Article 243W (Municipality) or Article 243G (Panchayat)** of the Constitution.
- Any Service provided to any person other than business entity or to a business entity with an aggregate turnover of up to Rs. 20 lakhs in the preceding FY or where consideration for such services does not exceed Rs 5,000 [Exceptions]
- **Transportation of Passengers** by-
  - (a)railways in a class other than—
    - (i) first class
    - (ii) an air-conditioned coach
  - (b).....
- Services by way of **transportation by rail** or a vessel of the following–
  - (a) relief materials meant for victims of natural or man-made disasters, calamities, accidents or mishap
  - (b) defence or military equipments
  - (c) newspaper or magazines registered with the Registrar of Newspapers
  - (d) railway equipments or materials
  - (e) agricultural produce
  - (f) milk, salt and food grain including flours, pulses and rice; and
  - (g) organic manure
- Upfront amount payable for providing **long term lease of 30 years** or more of industrial plots or plots for development of infrastructure for financial business provided by specified entities
- Services of **tolerating non-performance** of a contract for which consideration is received in the form of fines or liquidated damages

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4.2 Inward Supplies

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Inward Supply- Purchase of Rails

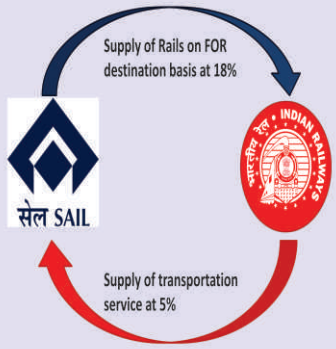
Railway procures Rails from SAIL on FOR destination basis

Railway supplies transportation service to SAIL

Supply from SAIL to Railways:
Rails (goods) + transportation (service) = composite supply

ITC utilization- blocked for Railways

Need for an alternative arrangement



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Purchase of Rails-proposed position

It is proposed that Railways shall procure rails from SAIL on Ex-factory basis

Rails shall be inspected and loaded on rakes and shall be the property of Indian Railways.

SAIL to issue invoice for cost of rails only (and not for transportation service)



Services by way of transportation of railway equipment or materials (Rails in the instant case) by rail from one place in India to another is exempt from levy of GST vide sl.no.20 of Notification No.12/2017-Central Tax (Rate) dated 28.06.2017, as amended.

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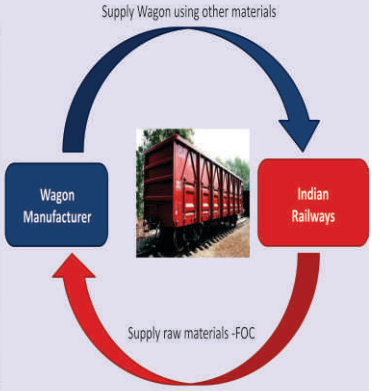
Inward Supply- Procurement of wagons

Railways supplies raw materials such as steel, CTRBS and Wheelsets to manufacturer on FOC basis

Manufacturer manufactures wagon using other materials like couplers, draft gears, bogies etc. procured by them.

Supplies received from wagon manufacturer –

Goods (wagons) or job work services?



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Inward Supply- Yatri Ticket Suvidha Kendra(YTSK)



Issue Invoice for service of facilitating passengers in booking tickets [@ 75% service charge]

FOC-ticket rolls and access to the PRS and UTS

Service Charge shared between IR and YTSK in 25:75 i.e. YTSK issues invoice on IR for its share (75%) in service charge along with GST at the rate of 18%.

Passengers may book ticket through YTSK counter



GST leviable on fare + service charge collected from passenger @ 5%

www.indianrailways.gov.in/railwayboard/uploads/directorate/traffic_comm/Comm_Cir_2018/CC_05_2018_R.pdf

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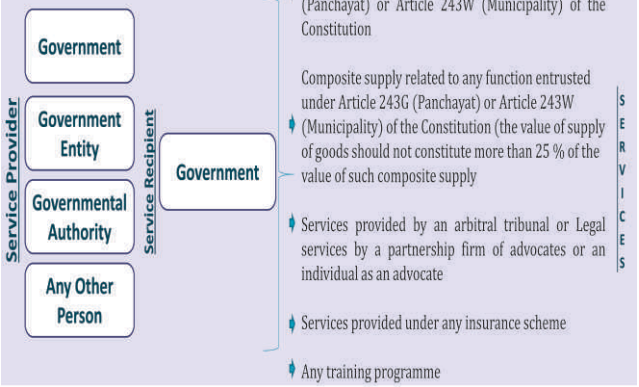
GST Exemptions pertaining to specific supplies made to Government



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4.3 Miscellaneous Issues

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Liquidated Damages

Liquidated Damages - Damages on breach of contract that are pre-estimated.

- Exemption vide SNo. 62 of Notification No. 12/2017-Central Tax (Rate) dt. 28.06.2017
- CBEC FAQ

Liquidated damages received by Railways from customers exempted from GST.

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E-way Bill (EWB)

What is e-way bill?

An electronic way bill (E-way Bill/EWB) to be generated for transportation of goods of consignment value exceeding fifty thousand rupees*

EWB briefly contains details of supplier, recipient , transporter.

EWB is to be generated for intra-state as well as inter-state movement of goods

- in relation to supply; or
- for reasons other than supply; or
- due to inward supply from an unregistered person.

EWB not required to be generated in case of:

For transportation of goods specified in Rule 138(14) of CGST Rules and in Annexure thereto

Where the consignor of goods is the Central Government, Government of any State or a local authority for transport of goods by rail



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E-way Bill (EWB)

Who is required to generate e-way bill?

Goods of value more than 50,000:

- Registered person causing movement of goods- (Consignor) or
- Recipient of Supply (Consignee) of goods
- Transporter in case of goods handed over for transportation by road

Goods irrespective of value:

- Job work- by principle or job worker when good are send from one State/UT to another.
- Handicraft goods- transported from one State/UT to another (by person exempt from registration under section 24 of CGST Act).

Validity of e-way bill

Distance	Validity period
Upto 100 km	One day in cases other than Over Dimensional Cargo
For every 100 km. or part thereof thereafter	One additional day in cases other than Over Dimensional Cargo
Upto 20 km	One day in case of Over Dimensional Cargo
For every 20 km. or part thereof thereafter	One additional day in case of Over Dimensional Cargo

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E-way Bill (EWB)

Details to be disclosed in E-way bill

Part A	Part B
GSTIN of Supplier	Vehicle number for Road
Place of Dispatch	Transport Document Number/Defence Vehicle No./ Temporary Vehicle Registration No./Nepal or Bhutan Vehicle Registration No.
GSTIN of Recipient	
Place of Delivery	
Document Number	
Document Date	
Value of Goods	
HSN Code	
Reason for transportation	

E-way bill requirement in case of Railways:

1. Railways as consignor of goods- exempt from filing E-Way Bill
2. Railway as consignee of goods (and the consignor is not registered)- need to generate EWB? Rule 138(3) second proviso
3. Railways as transporter-exempt from filing EWB in most cases*

http://www.indianrailways.gov.in/railwayboard/uploads/directorate/traffic_c mm/Rates-Letters/2018/E_wayBill_23032018.pdf

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Contract Clauses to be re-visited

- Contracts entered in pre-GST regime – Terms and clauses to be revisited and modified to address GST implications
- Clauses related to breaches, damages, penalties to be reviewed for possible GST implication
- Pricing clause should be exclusive of taxes
- Person liable to pay tax, RCM or forward charge, place of supply, type of tax (CGST / IGST) should be clearly defined
- Liability as to expenses on freight, insurance, etc., to be reviewed
- Composite contracts – Decision to be taken from tendering stage
- SPV/JV/PSUs- contract clauses need to be re-visited

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Module 5 - GST Audit

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GST Audit – Audit by CA/CMA

Legal Provisions & requirement:

- Section 2(13) of CGST Act states that "audit" **means** the **examination of records, returns and other documents** maintained or furnished by the registered person under this Act or the rules made thereunder or under any other law for the time being in force **to verify the correctness of turnover declared, taxes paid, refund claimed and input tax credit availed,** and **to assess his compliance with the provisions** of this Act or the rules made thereunder.
- **Section 35(5) of CGST Act** states that every registered person whose turnover during a financial year exceeds the prescribed limit **shall get his accounts audited by a chartered accountant or a cost accountant and shall submit a copy of the audited annual accounts, the reconciliation statement under sub-section (2) of section 44 and such other documents in such form and manner as may be prescribed.**

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GST Audit – Audit by CA/CMA

- Further, Rule 80 of CGST Rules inter-alia states that every registered person whose aggregate turnover during a financial year exceeds two crore rupees is required to get his accounts audited as specified under section 35(5) and furnish a copy of audited annual accounts and a reconciliation statement.
- **As per the Act, the limit of Rs 2 crore is registration wise whereas as per the Rules the same is entity wise.**

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Types of Audit

- Section 35 • Audit by CA/CMA for registered persons having turnover more than Rs. 2 Crores*
- Section 66 • Special Audit
- Section 65 • Departmental Audit/Audit by tax authorities

As per The Central Goods and Services Tax (Amendment) Bill, 2018, as passed by Lok Sabha, it is proposed to provide that any Department of the Central or State Government / Local Authority which is subject to audit by CAG of India need not get their books of account audited by any Chartered Accountant or Cost Accountant.

Since, account of IR, a Department of Central Government, is subject to audit by CAG, audit stipulated under Section 35 may not be applicable to IR.

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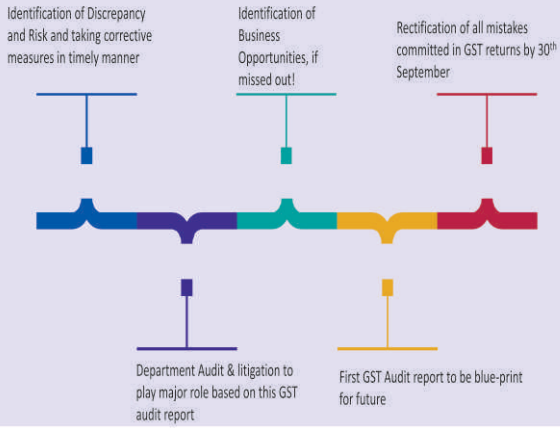
Importance of GST Audit



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Role of Auditor

Verify and comment on compliance of provisions of entire GST law at business transaction level

- Taxability of Business Transaction
- Classification / Exemptions / abatements
- Reversal of input tax credit
- Compliance with Anti-profiteering
- Transitional credit
- Impact of Advance Rulings / ongoing litigations
- Valuation / Discounts
- Supplies without consideration/Related Party Transaction
- Documentation/Returns/Waybill
- Determination of Place of supply and Time of Supply
- Reverse Charge Applicability
- Mechanism of availing, reporting and utilising input tax credit in books & GST returns

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Scope of GST Audit

Part A

- Financial reconciliation/ certification

Part B

- Legal Audit

Two types of reports/certification under GST Audit report

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Part A – Financial reconciliation/certification

Step 1:
- Preparation of State wise Balance Sheet and Profile and Loss Account

Step 2
- Preparation of GST Annual Return

Step 3
- Preparation of Outward Reconciliation Statement

Step 4
- Preparation of Inward Reconciliation Statement

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Part B – Legal Audit Involves

- Audit of tax implications on all business transactions and processes.
- Verification of existing Classification for each and every transaction
  - Correctness of rate of tax
  - Availability of exemption Notification
  - Whether transaction is single supply / composite supply / mixed supply
- Verification of Nature of Supply of every business transaction
  - IGST vs CGST/SGST
  - Correctness of Place of Supply
  - B2B to B2C and vice versa
- To identify the documentation requirements for GST raising of tax invoice, bill of supply, debit note / credit note, payment voucher, advance voucher, self-invoice etc.
- To verify whether all the substantive and procedural requirements of GST Laws are being complied with or not.
- To scrutinise GST returns (GSTR-1 & GSTR 3B) and refund applications submitted/filed by respective plants.
- Verification of entire Input Tax Credit mechanism
  - Eligible vs Non Eligible Credit
  - Conditions of Credit
  - Reversal of Credit etc

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Grievance Redressal & Dispute Resolution Mechanism under GST

- GST Council- A Constitutional body chaired by Union FM, with State FMs – Representations by industry considered by GSTC.
- GST Implementation Committee: Central and State level GST Commissioners
- Advance Ruling & Appellate Authority (AAR) for providing clarity in 90 days

(a) Limited to:
- Classification
- Liability to pay tax
- Applicability of notification
- Admissibility of credit

(b) State-level authorities: State-wise application to be filed. Not optimally useful.

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