

Compendium of
Systemic Improvements
issued by
SJVN Vigilance Department
(January, 2024- November, 2025)

INDEX

SN	Systemic Improvement	Date of Issue	Page No
1	Circular regarding inviting bids exclusive of GST	12.01.24	3
2	Circular regarding approval of deviation in contract from competent authority	05.03.24	4
3	Circular regarding storage arrangements of critical equipment's related at site	25.04.24	5
4	Circular regarding any deviation in payment terms from original contract agreement	25.04.24	6
5	Circular regarding comprehensive specifications regarding GTPs for all major electrical equipment.	25.04.24	7
6	Circular regarding strict adherence to the guidelines specified in the EOI & NIT	25.04.24	8
7	Circular regarding adherence of DPIIT orders on public procurement with a primary emphasis on indigenous manufacturing under the "Make in India".	25.04.24	9
8	Strengthening payment security protocols to mitigate fraudulent activities - reg.	25.04.24	10
9	System Circular regarding guidelines for keeping records related to Design Mix Concrete, Cement, Aggregates, Steel etc. at Site	06.09.24	11
10	System Circulars issued in respect of Intensive Examination conducted by CTE at NMHEP	17.12.25	12
11	Systemic Improvement in the Recruitment Process	07.05.25	13
12	Circular regarding Checklist for Verification and Acceptance of Insurance Policies by EIC	14.05.25	14
13	Systematic Improvement in the process for selection of trainers /institutes/agencies.	23.06.25	17



एसजेवीएन लिमिटेड
सतर्कता विभाग, निगमित मुख्यालय
शक्ति सदन, शनान, शिमला -171006

Our Shared Vision: 5000 MW by 2023, 25000 MW by 2030 and 50000 MW by 2040

Ref: SJVN/CHQ/VIG/2024/- 1218-1249

Dated: 12.01.2024

CIRCULAR

The procurement of works, goods and services (Goods & Services other than those which are being procured through GeM / other Govt portals) is being done online by various units / departments / projects of SJVN through SJVN portal (<https://etender.sjvn.co.in>). During the scrutiny of tender files by corporate vigilance department, it was noticed that some of units / departments / projects are awarding contracts inclusive of GST while others are awarding contracts exclusive of GST.

In order to avoid the problems in ranking of bidders on account of different quoted tax structure/rate by different bidders and to bring uniformity across all units of SJVN, it is advised that the bids shall be invited / contracts shall be awarded inclusive of all duties, taxes, levies and other levies except GST. The applicable GST as per statutory provisions shall be paid extra to the successful bidder on the submission of GST invoice as per GST Act.

This issues with the approval Competent Authority.


(Anil Kumar Goel)
Dy. Chief Vigilance Officer

Distribution: - As per attached list



एसजेवीएनलिमिटेड
सतर्कताविभाग, निगमितमुख्यालय
शक्तिसदन, शनान, शिमला -171006

Our Shared Vision: 25000 MW by 2030 and 50000 MW by 2040

अंतरकार्यालय ज्ञापन

From	Dy. CVO, SJVN CHQ, Shimla	To	As per distribution list
Ref. No.	SJVN/CHQ/Vig/Gen/24-1390-1419	Copy	
Date	05.03.2024		
Subject	Strengthening Payment Security Protocols to Mitigate Fraudulent Activities.		

A notable incident occurred in a very reputed PSU where fraud payment happened as fraudsters impersonated as supplier firm. Fraudsters used a proxy server to send the bank account details. Account division officials only checked the email id which was same as that of the seller firm. Believed the account details as genuine, Account division officials processed the payments. However, during investigation and detailed scrutiny of header of email, it was found that email was generated from a fake web service provider.

In light of this, it is strongly advised to exercise due precautions while initiating payments and authenticating the account details of the beneficiary.


(Anil Kumar Goel) -



एसजेवीएन लिमिटेड
सतर्कता विभाग, निगमित मुख्यालय
शक्ति सदन, शनान, शिमला - 171006

(Our shared Vision: 25000 MW by 2030 & 50000 MW by 2040)

Ref No.: SJVN/CHQ/Circular- 160

Date: 25.04.2024


System Circular

Any deviation without the approval from Competent Authority is a contractual violation. It is imperative that all the technical specifications, which are agreed while signing of contract agreement between employer and contractor, are strictly adhered to during execution of the contract by Engineering team, site execution team, Quality Assurance team or any other team to whom it pertains. As such, post award contractual deviation in scope of work (either in quantity / specification) be minimised. The above is emphasized upon since in one of the inspection, it has been found that ***underground neutral earthing of power transformers was done using GI strips instead of the specified copper flat strips as per Terms & Conditions of Contract Agreement.***

However, if technological issue / site issue / design issue/ any other issue demands for any deviation after award of work, then the proposed deviation vis-a-vis contractual provision is required to be deliberated, justifications to be recorded in writing in detail with proper detailed financial analysis before taking final decision. Approval in such cases need to be obtained from the Competent Authority after bringing all the facts of the matter in writing to him / her.

Strict compliance must be ensured by all concerned.

This issues with the approval of CMD.


(अनिल कुमार गोयल)
उप-मुख्य सतर्कता अधिकारी
एसजेवीएन



एसजेवीएन लिमिटेड
सतर्कता विभाग, निगमित मुख्यालय
शक्ति सदन, शनान, शिमला - 171006

(Our shared Vision: 25000 MW by 2030 & 50000 MW by 2040)

Ref No.: SJVN/CHQ/Circular - 161

Date: 25.04.2024


System Circular

During recent inspections, significant shortcomings in the storage arrangements of critical equipments have been found. The equipments were left exposed in isolated places without any protective covering or platform despite the fact that the contract agreement had provided for all equipments supplied to be promptly stored in designated storage facilities provided by the contractor. Moreover, all necessary measures required to ensure protection of those equipments during storage period, the provisions relevant to ensure that must be incorporated into the contract and it must be strictly adhered to.

In this context, it is imperative to ensure strict adherence to the contractual clauses by all parties to the contract with regard to material handling and storage. Bid conditions must include explicit requirements for proper storage facilities and handling procedures to safeguard the quality and integrity of the equipment. It should also delineate clear responsibility for monitoring proper storage and material handling. Any deviation must be viewed as serious violations of the Contract provisions and to be treated as such.

Strict compliance must be ensured by all concerned.

This issues with the approval of CMD.


(अनिल कुमार गोयल)
उप-मुख्य सतर्कता अधिकारी
एसजेवीएन

वितरण सूची संलग्न:



एसजेवीएन लिमिटेड
सतर्कता विभाग, निगमित मुख्यालय
शक्ति सदन, शनान, शिमला - 171006

(Our shared Vision: 25000 MW by 2030 & 50000 MW by 2040)

Ref No.: SJVN/CHQ/Circular -162

Date: 25.04.2024

System Circular

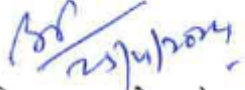
Any deviations in payment terms from original contract agreements are considered serious violations. Such violations become more severe and create legal complications when one of the party is a foreign vendor.

It is imperative to acknowledge that any changes in payment terms after the award of work raises concerns regarding transparency and procedural integrity. Such alterations can potentially undermine the credibility of our procurement processes and erode trust among stakeholders.

Thus, it is essential that payment terms remain consistent with those outlined in the contract agreements. Any deviations from the agreed-upon terms should be approached with caution and should only be considered after approval of the competent authority after proper evaluation of causes and circumstances keeping in view the principles of fairness.

Strict compliance must be ensured by all concerned.

This issues with the approval of CMD.


(अनिल कुमार गोयल)
उप-मुख्य सतर्कता अधिकारी
एसजेवीएन

वितरण सूची संलग्न:



एसजेवीएन लिमिटेड
सतर्कता विभाग, निगमित मुख्यालय
शक्ति सदन, शनान, शिमला - 171006

(Our shared Vision: 25000 MW by 2030 & 50000 MW by 2040)

Ref No.: SJVN/CHQ/Circular - 163

Date: 25.04.2024

System Circular

During recent inspections, it has been observed that Detailed Technical Specifications of the Notice Inviting Tender (NIT) lack Guaranteed Technical Parameters (GTP), particularly with regard to major electrical equipment.


Given that the projects are generally envisioned to operate for a substantial duration, it is imperative to address potential financial implications stemming from losses incurred by the equipments. Unfortunately, the absence of specified GTPs in technical specifications leave this crucial aspect unaccounted for.

While the provisions for Performance Guarantee (PG) testing and Liquidated Damages (LD) outlined in the contracts, can be said to be instruments / provisions to deal with deviations, however, it is imperative to inculcate and formalize an approach by explicitly defining GTPs for all major electrical equipments. This will not only ensure the requisite energy production throughout the project's lifecycle but also provide greater clarity and accountability in our procurement processes.

Therefore, it is enjoined upon all concerned that all future tenders must include clear and comprehensive specifications regarding GTPs for all major electrical equipments, alongside any other relevant information that may impact project finances.

Strict compliance must be ensured by all concerned.

This issues with the approval of CMD.


(अनिल कुमार गोयल)
उप-मुख्य सतर्कता अधिकारी
एसजेवीएन



एसजेवीएन लिमिटेड
सतर्कता विभाग, निगमित मुख्यालय
शक्ति सदन, शनान, शिमला - 171006

(Our shared Vision: 25000 MW by 2030 & 50000 MW by 2040)

Ref No.: SJVN/CHQ/Circular - 164

Date: 25.04.2024


System Circular

It is of utmost importance to adhere to the defined procedures outlined in the Expression of Interest (EOI) and Notice Inviting Tender (NIT) documents, as well as SJVN's Procurement & Works Policy and General Financial Rules (GFR).

However, instances have come to the notice where vendors who have not been enlisted earlier through the Expression of Interest (EOI) process, have been allowed participation in procurement process (Limited Tender Enquiry) at the later stage, despite the explicit provisions in NIT that the vendors selected via the EOI were only eligible to participate. This practice transgresses the established norms and undermines the transparency and fairness of the selection process.

Thus, to ensure transparency and fairness in our procurement processes, strict adherence to the guidelines specified in the EOI and NIT documents must be ensured. Participation in tender processes should be restricted to vendors who meet the qualifying requirements outlined in these documents.

This issues with the approval of CMD.


(अनिल कुमार गोयल)
उप-मुख्य सतर्कता अधिकारी
एसजेवीएन

वितरण सूची संलग्न:



एसजेवीएन लिमिटेड
सतर्कता विभाग, निगमित मुख्यालय
शक्ति सदन, शनान, शिमला - 171006

(Our shared Vision: 25000 MW by 2030 & 50000 MW by 2040)

Ref No.: SJVN/CHQ/Circular - 165

Date: 25.04.2024

System Circular

Government of India and other statutory bodies have issued guidelines and directives pertaining to the adherence of DPIIT orders on Public Procurement, with a primary emphasis on promoting indigenous manufacturing under the "Make in India" initiative.

As per the DPIIT Notification and subsequent instructions by the concerned Ministries, it is mandated that procurement of goods, services or works, where there exists sufficient local capacity and competition, should prioritize "Class-I local suppliers."


Any procurement in contravention to the aforesaid notifications and other relevant Government instructions on the subject defeats the purpose of the initiative.

Thus, it is of paramount importance to strictly adhere to guidelines and directives issued by the Government or other statutory bodies. Compliance with such directives is not only mandatory but also to align with our commitment to supporting indigenous industries and fostering self-reliance.

However, in circumstances where deviation from these directives seems necessary, it is imperative to seek appropriate approval or relaxation from the Government of India (GoI) or from an authority competent to grant such exemption as per laid down rules, before proceeding.

Strict compliance must be ensured by all concerned.

This issues with the approval of CMD.


(अनिल कुमार गोयल)
उप-मुख्य सतर्कता अधिकारी
एसजेवीएन



A Navratna Company

एसजेवीएन लिमिटेड सतर्कता विभाग

Our Shared Vision: 25000 MW by 2030 and 50000 MW by 2040

सं.: एसजेवीएन/सत./आई.डब्लू/2024 -328

दिनांक: 06.09.2024

SYSTEM CIRCULAR / प्रणाली परिपत्र

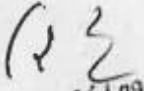
During a site inspection of one of the units of SJVN/Subsidiary, it was observed that the Engineer In Charge (EIC) and his site engineers had not ensured the conduction of field trials for concrete and moisture content tests of aggregates before the commencement of work. Further, the record of design mix concrete prepared by the batching plant/fiori etc. has not been maintained. Apart from this, the records for cement, aggregates, steel etc. and their consumption statements being not maintained properly nor the frequency of sampling of concrete being done in appropriate numbers.

2. In view of the above context, the Site-In-Charge ensured for maintenance of following records at site:
- Data of each concrete mix made from batching plant/fiori or any similar type of mixer plant;
 - Moisture content data of aggregates;
 - Field trial data for concrete mix &
 - Data related to bills of cement, aggregates, steel etc. and their consumption statements.

The records so maintained shall be submitted to the Engineer-In-Charge within 30 days and endorsement on the record shall be invariably obtained.

3. All HOP/CEO are enjoined upon to ensure strict compliance.

This issues with the approval of CMD.


06/09/24
(नवीन कोप्टा)

महाप्रबंधक/प्रमुख, आई. डब्लू.

वितरण सूची संलग्न

SJVN Limited
Vigilance Department
Shakti Sadan, Shanan, Shimla

Ref No: SJVN/VIG/Circular/2024-1241

Dated: 17.12.24

System Circular

During the intensive examination of civil works of one of the Hydro Electric Project by CTE wing of CVC, it has been observed that the number of tests carried out on different materials (Steel reinforcement, Structural steel, Plain Shotcrete, Rock Bolt, Water etc.) are less than the numbers prescribed in the Technical Specification (TS). Further, in certain cases testing of materials has not been done at all.

It has also been observed that in some of the items there is mismatch in the frequency of testing of samples as mentioned in the TS viz a viz Quality Assurance Plan conveyed to the contractor by the project authority. However, no justification has been recorded by the project authorities for such change. The same should be done with the proper justification and prior approval of the Competent Authority.

Henceforth, following is directed to all concerned:

- i. To ensure compliance of all testing requirements (including frequency of testing) of material / item as per Technical Specifications (TS) during execution of work. In extreme cases, where the testing requirement suggested in the Technical Specification / QAP is not possible during execution of work, the matter needs to be recorded with proper justification and prior approval is required to be taken from the authority who has approved the Technical Specification / Quality Assurance Plan.
- ii. Data of all the tests conducted at site shall be maintained in the attached format (Annexure-I) and it shall be made part of RA bill documentation. The payment shall not be made to contractor if tests of any material / item executed at site are not conducted as per the requirements of Technical Specification / Approved QAP.

This is issued for strict compliance at all levels.

This issues with the approval of CMD.


(Anil Kumar Goel)
Dy. CVO, SJVN

Distribution: As per attached list.

Systemic Improvement in the Recruitment Process

(Ref No.- SJVN/CHQ/Vig/Sys.Imp./2025-299-300 dated 07.05.2025)

To ensure the transparency and fair opportunity in the existing recruitment process, the following systematic improvements are suggested:

1. For every recruitment, approval shall be obtained regarding steps of selection process along with other relevant details in initial proposal itself along with listing of possible / anticipated exceptions.
2. Where candidate will be applying for more than one post, an undertaking shall be obtained from applicant/ candidate clearly stating the order of preference in case of his/her selection in applied posts at the time of document verification process that precedes the Personal Interview. Further, the candidate shall be allowed to appear in interview for all posts for which he/she is eligible.
3. The State wise list of caste/community certificate issuing authority/office along with other relevant instructions/inputs will be provided to and used by committee members during the document verification/selection process. This list shall be updated by Recruitment Section on annual basis to incorporate changes, if any.
4. Regarding 'provisional admission' of applicants in the recruitment process, candidates will be allowed on provisional basis in absence of relevant certificates for further selection process by allowing 15 days' time to produce / submit relevant certificates by taking an undertaking from the candidate. In event of non-fulfillment of terms of undertaking, the candidate shall be declared ineligible.
5. No officials involved in the recruitment activities shall repeat in any one of the succeeding activities of a particular recruitment with an exception of officials of the recruitment section and the concerning hierarchical authorities.
6. SJVN has a detailed Direct Recruitment Procedure Manual in place which serves as the Standard Operating Procedure (SOP) for carrying out the recruitment activities and this also include the decision regarding provisional acceptance of candidature to be exercised as per clause 21.5 by the concerned HR representative.

The systemic improvements as above adhered to by concerned HR Department including subsidiaries / JVs (as applicable) in all ongoing, future recruitments and be suitably incorporated in SJVN Recruitment Manual as well.



एसजेवीएन लिमिटेड
कॉरपोरेट संविदा विभाग (सिविल)



कॉरपोरेट हैडक्वार्टर, शक्ति सदन, शनान, शिमला-6 (हि0 प्र0),

संख्या:- एसजेवीएन/सीएचक्यू/सीसीडी/परिपत्र/2025-186

दिनांक: 14/05/2025

परिपत्र

Subject:-Checklist for verification and acceptance of Insurance policies by the EIC.

In order to cover different risks in contracts awarded by SJVN, Bid Documents in general lay down the types of Insurance coverage to be maintained for the plant, materials, works and manpower. The requisite insurance policy(s) under the Contract are arranged by the Contractor and submitted to Engineer-in-charge for acceptance.

As a measure of system improvement, a checklist for verification and acceptance of Insurance policies by the EIC has been formulated in consultation with Vigilance Deptt. and the same is attached for compliance by all concerned.

The checklist shall be filled up by respective EIC while accepting any insurance policy submitted by the Contractor.

This issues with the approval of Competent Authority.

संजय कुमार गर्ग
14/5/25
(संजय कुमार गर्ग)

विभागाध्यक्ष (सिविल संविदा विभाग)

वितरण:-

- (i) समस्त परियोजना प्रमुख/ विभागाध्यक्ष।
- (ii) सीईओ, एसएपीडीसी, खंडबारी, नेपाल।
- (iii) सीईओ, एसएलपीडीसी, खंडबारी, नेपाल।
- (iv) सीईओ, एसटीपीएल, बक्सर।
- (v) सीईओ, एसजीईएल, शिमला।

जानकारी के लिए कॉपी :ES/PS to CMD/D(P)/D(C)/D(F)/D(E)/CVO.

Checklist for Verification and Acceptance of Insurance Policy by the Engineer-in-Charge (EIC)

A. General Details		Complied or not (Y/N)	Remarks
1. Policy Information:	• Name of the Insurer.		
	• Policy Number.		
	• Policy Issue Date.		
	• Policy Validity Period (From Date - To Date).		
	• Type of Insurance Policy (CAR, Workmen Compensation, Public Liability, Transit/ Marine, Storage & Erection, Professional Liability etc.).		
2. Policy Beneficiaries:	• Ensure the policy is issued in the joint names of the Contractor and/ or the Employer as per the contract requirements.		
3. Coverage Period:	• Ensure the coverage period starts from the contract commencement date to completion of work(s) as a whole or as specified in the tender document/LOA.		
B. Policy Coverage Verification			
4. Scope of Coverage:	Verify that the policy explicitly covers the following as per contract:		
	• Contract works		
	• Third-party liabilities		
	• Equipment and machinery.		
	• Workmen Compensation (if applicable).		
	• Damage to property		
5. Sum insured:	• Ensure that the sum insured matches the requirements specified in the contract or tender documents.		
6. Deductibles and Excess Clauses:	• Ensure deductibles/excess mentioned in the policy comply with the contract terms.		
7. Premium Details:	• Premium Schedule for the policy period and corresponding premium amounts shall be clearly stipulated and shall reflect during 1 st premium payment in line with the Agreement Letter/ Insurance Policy.		
	• Verify the policy Includes the premium paid details.		

Chad

8. Claim restriction clause	<ul style="list-style-type: none"> • Ensure there are no claim restriction clause in the policy against the terms and conditions of the contract/ LOA. 		
C. Compliance with Contract Clauses			
9. Compliance with Tender/ Contract Clauses:	<ul style="list-style-type: none"> • Verify compliance with relevant clauses of the General Conditions of Contract (GCC) and/ or Special Conditions of Contract (SCC). 		
	Check specific coverage as per provisions of contract:		
	<ul style="list-style-type: none"> • Defects Liability Period 		
	<ul style="list-style-type: none"> • Loss/ Damage arising during execution 		
	<ul style="list-style-type: none"> • Liabilities for third-party claims or damage • Any other. 		
10. Policy Amendments (if applicable):	<ul style="list-style-type: none"> • Ensure amendments have been incorporated in case of any extensions in the project timeline or scope. 		
D. Documentation			
11. Policy Authenticity:	<ul style="list-style-type: none"> • Verify the authenticity of the insurance policy with the issuing insurer 		
	<ul style="list-style-type: none"> • Ensure the policy is signed and stamped by the insurer mentioning its UIN (Unique Identification Number). 		
12. Submission of Endorsements (if applicable):	<ul style="list-style-type: none"> • Ensure submission of endorsements for any changes in the policy during the execution period. 		
13. Supporting Documents:	<ul style="list-style-type: none"> • Verify the submission of a copy of the premium receipt. 		
	<ul style="list-style-type: none"> • Confirm submission of any other documents requested under the contract. 		
E. EIC's Verification and Acceptance			
14. EIC Verification:	<ul style="list-style-type: none"> • Ensure the policy and its coverage have been thoroughly checked by EIC as per contract/ LOA. 		
	<ul style="list-style-type: none"> • Document any discrepancies or non-compliance observed 		
15. EIC Approval:	<ul style="list-style-type: none"> • After thorough scrutiny, provide acceptance by signing off on the insurance policy checklist. 		

CHS

Systematic Improvement in the process for selection of trainers
/institutes/agencies

(Ref.No.- SJVN/CHQ/Vig/Sys.Imp./2025-299-300 dated 23.06.2025)

To ensure the fairness, transparency and objectivity in the process of selection of faculties/ institute for conducting any customized / exclusive training program(s), the following systematic improvements are suggested:

1. Quality and Cost Based Selection (QCBS) method shall be adopted for hiring of trainers / agencies for all such training programs.
2. The 'Scheme for Payment of Honorarium' as approved by BOD to be adhered in letter in spirit without exception on Case-to-Case basis.
3. Clause 13.0 being residuary clause should sparingly be used in rare cases since the specific provision for the honorarium are expressly stipulated in the pre-clauses of policy. The repeated use of clause 13.0 defeats the very purpose of inclusion of clauses Le. 7.0 etc.
4. In line with Rule 4 & 6 of SJVN CDA Rules, in all future proposals as a part of process, the 'Declaration of relation with the faculty/ agency (wherever applicable) by respective dealing officers must be ensued before final approval of CA.
