

# DELHI METRO

## A Study on Institutional Ethics



IC Centre for Governance  
New Delhi

## IC Centre for Governance

The genesis of the Initiatives of Change Centre for Governance (ICCG) as an organisation goes back to 2003 when a group of like-minded professionals came together with a shared concern that despite the availability of resources and technology, a quarter of the population in India continues to live in poverty. This chronic challenge is not simply about the lack of income, but a lack of voice of responsive local administration that can redress local needs. It was recognised that the crisis of governance affects the lives and working environments of millions who consider themselves to be free citizens of the country. The members came together with a belief that they would endeavour to make a difference by challenging loopholes and ensuring well-thought out actions which may be initiated for planned progress in systems of governance.

The IC Centre for Governance began with a vision for creating a work culture that encourages inculcation of ethics and values in governance structures, systems and institutions. The Centre is, therefore, concerned with issues of public policy formulation, programme design, project management and ethics in public governance.

It works towards:

- Creating appropriate framework between the executive and legislative arms of the governance.
- Awareness and importance of Ethics in public.
- Managing accountability and relationships.

Apart from the above, ICCG is engaged in several activities such as organising lecture series on governance issues, training programmes, seminars and workshops, undertaking research projects and taking up the advocacy of policies for the benefit of society at large.

**DELHI METRO**  
**A Study on Institutional Ethics**

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**Disclaimer**

The report is based upon the information available from various channels of DMRC, while the views expressed are not necessarily those of DMRC.

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## FOREWORD

The first thing that struck me when I entered the chamber of the Managing Director of Delhi Metro Rail Corporation was a plaque on the wall high above his table. It said,

कार्य करोमि न च किञ्चित् अहं करोमि

– योग वशिष्ठ रामायण

And I knew that we have come to the right place.

The simple aphorism explained more about the philosophy of the organization's leader than all the brochures – 'I do the job and yet I am not the doer'. As we proceeded with the study, the meaning of the phrase became clearer. The meeting with Dr Mangu Singh, the MD of Delhi Metro was most rewarding. He did not think for a minute when I told him that IC Centre for Governance was interested in doing a critical study of the ethics infrastructure in DMRC. His instant response was, "We will feel honoured if your Centre conducts the study".

Ethics of Governance has consistently been an article of faith with IC Centre for Governance (ICCFG hereafter). It wouldn't be an overstatement to say that its creation was caused by the realization of continuing erosion of ethical values in the delivery of services by state functionaries. One of the main recommendations of an international conference on Globalization that the systems and processes of governance must be made more transparent and robust to derive optimum benefits from Globalization induced a large group of professionals to set up a forum for collective thinking on governance issues. They concluded that ethics is the soul of good governance and the aggregate ethical conduct of public servants determines in no small measure the quality of public governance.

Ethics introduces a new dimension in transactions between the citizen and the government agencies. The Centre has been conducting investigations in the actual working of individual civil servants as well as the departments interacting with the people. While our research in individual ethical requisites has reached a certain stage, we have not done much in studying institutions.

In its pursuit of expanding the concept of ethics of governance, the Centre stumbled on the concept of collective integrity of an organization as an adjunct to individual integrity of the employees of the organization. It found that when the ingredients of ethics were embedded in the systems and processes of an institution, it was easier to influence individuals associated with the institution. Consequently, the Centre started on a quest for a suitable institution in India's public sector to act as a benchmark for institutional integrity.

We looked around and found very few instances of systemic best practices. For example, I have not seen any official website with full disclosure of information required under Section 4 of the Right to Information Act. Similarly, unlike the compilation of instances of ethical failures by the US government (i.e. Encyclopedia of ethical failures), no department of the Central or state governments has brought out cases of unethical practices in our country. Also, not many public sector organizations have codified the ethical requirements of their employees.

Therefore, Delhi Metro Rail Corporation (hereafter DMRC) came as a breath of fresh air in the realm of institutional ethics. That I had been associated with it from its inception helped us to identify DMRC as a subject of our study.

The present report is the outcome of the labour put in by the team members of the Core Group of the Centre constituted to carry out the study, and goes a long way in explaining why DMRC is so special among the many Public Sector Undertakings. Needless to say, the team not only received excellent cooperation but also invitation to go deeper into the working of different branches of the Corporation.

The responses to the questionnaires raised by ICCfG were unrestrained and frank. The attitude in which answers were given showed



clarity of understanding and forthrightness on the part of senior management. In fact it was refreshing to see that DMRC had readily admitted that a study by TISS had revealed that the junior management staff did not clearly understand the essence of DMRC's Vision, Mission and Values. A special training drive was conducted for the junior management staff with an external facilitator (ref: questionnaire).

A simple test was conducted during ICCfG study to see whether DMRC consciously followed the policy of asking for or accepting any favour from the contractors or vendors of the Corporation. They were requested to recommend the application for a low level job in a contractor's unit. It was politely but firmly refused by indicating the ethics policy of DMRC.

One of the most noticeable objectives in the Solar Policy of the Corporation is to increase the generation of solar energy to 50 MW for non-traction purposes by 2021. It has already fulfilled the earlier target of generating 20MW. The mere intention of continuously increasing the generation of clean renewable energy and reducing its carbon footprint indicates an institutional ethical mindset.

DMRC has resolved to reduce the generation of waste by 5% in three years. The measures adopted for achieving 30% recycling for disposal of hazardous waste should be clearly brought out.

As the forerunner of most of the metro companies in the country, one would expect DMRC to share its experience of continuously striving to make Delhi Metro a 'customers' delight'. Its norms in many areas, like energy consumption, can effectively serve as benchmarks for emerging metro companies. The culture of Delhi Metro will be an exemplar for them.

One of the intended benefits of the present study would be the formulation of a flexible template of training in Organizational Ethics. Till now, the IC Centre has been involved in the training programmes meant for civil servants of different government agencies. But a new programme mounted to look at the culture of an organization could prove to be a turning point in the development of ethical governance.

I extend my felicitations to Shri Rajiv Sachdeva and all the members of his team for making a signal contribution to the subject. That they spared their valuable time and have done the study at the cost of their personal inconvenience is particularly commendable.

Lastly, I place my sincere gratitude on record for Dr. Mangu Singh and his colleagues to have gone the extra mile in providing all necessary information and making suitable arrangements for the many visits of the team to DMRC's establishments. Without their active participation, it would not have been possible to carry out this study.

**Prabhat Kumar**

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## Role of Institutional Ethics

Institutions play a dominant role in shaping our society. The public and the society at large expect that institutions display a profound commitment to ethics in all their activities. The ethical demands placed on institutions fall into two important categories:

- a) Refrainment from negative actions such as deception or causing harm.
- b) Undertaking positive duties which contribute to the well-being and improvement of the society and environment.

Although the second category may not be legally enforceable, it is a requirement whose fulfillment vastly contributes to the image, public perception and performance of an institution.

The relevance of institutional ethics has increased manifold during the last couple of decades primarily because modern technology has made it possible to scrutinize and analyze every step that an organization takes. In fact, the proper implementation of a well-documented Code of Ethics is considered one of the key factors for sustainable success and growth. A flawed ethical system is considered synonymous with poor governance and weak leadership. The leadership is therefore under intense pressure to implement a Code of Ethics throughout the organization and even show commitment to it through personal example.

India has a vast and diverse network of public institutions which are either wholly or partially under the control of the central or state governments. Although most of these institutions have a document on the Code of Ethics, the integration of ethics in their actions is practically non-existent. Many of the employees are either not aware of the existence of such a document or have never cared to go through its contents. There is also little effort on the part of the

leadership to increase awareness and impart training on this crucial subject. It is also well known that the performance of such institutions is far from satisfactory. The general public impression is also that they are inefficient, sluggish and corrupt and, consequently, a drain on the country's economy. This thereby strengthens the argument that there exists a direct correlation between an institution's performance and the extent to which it implements a proper Code of Ethics.

Based upon the above knowledge, IC Centre for Governance (IC-CfG hereafter) decided to create an appropriate module to increase awareness and impart training on institutional ethics to all types of Government institutions, which include constitutional entities, municipalities, authorities, corporations, banks, commercial organizations, undertakings etc. We are of the firm belief that our efforts in this direction will result in the improvement of transparency, efficiency, productivity and public perception of the institutions and consequently benefit the country.

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## Selecting Delhi Metro Rail Corporation

Our first step was to study and analyze a model Indian institution which has shown high performance, consistent success and commands the respect of the public. After examining various options, we zeroed down to Delhi Metro Rail Corporation (DMRC hereafter) for the following reasons:

- a) Efficient and timely execution of all projects since inception.
- b) DMRC has ensured that the disturbance and distress caused to the public during the construction phase is kept to the bare minimum.
- c) Enviably track record of operations. DMRC is considered a benchmark for its well-designed stations, use of latest technologies, convenient ticketing systems, comfortable and clean trains, friendly and helpful service, continuous improvements and expansions, eco-friendly approach and, above all, punctuality.
- d) Excellent public perception. Within a relatively short time, DMRC has altered the public transport concept of Delhi and NCR. It is often stated that without this efficient metro system, the capital and its surroundings would have choked and come to a grinding halt.
- e) Proud track record on safety. Barring a couple of accidents during the construction phase, travelling on DMRC trains has proved to be a very safe experience for its commuters.

- f) Phenomenal growth rate both in terms of its network and the number of passengers. According to the DMRC, the cumulative ridership for the financial year 2016-17 crossed one billion. During the next few years, DMRC's reach is planned to be extended to every corner of the NCR, which could make it among the three largest metro networks in the world.
- g) Financially viable with positive operating profits, despite offering very economical fares. DMRC has been servicing its debts efficiently without payment default.
- h) A clean organization without any reported scams or scandals. While many Indian companies have been in the news for all the wrong reasons, DMRC has been free of corruption charges and investigations. Moreover, there have been also no major reports of unrests, disputes and legal cases.
- i) An organization which can be proud of exemplary leadership. Its first Managing Director Dr. E. Sreedharan (1997-2012) is held in high esteem as a man of integrity, dynamism and professionalism. He has been awarded the Padma Shri and Padma Vibushan by the Government of India. His successor Dr. Mangu Singh has also displayed admirable leadership qualities in an increasingly difficult and demanding environment.

Fortunately, the Management of DMRC was willing and forthcoming. It readily agreed to our request to carry out this Case Study and assured us of full cooperation.

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## Delhi Metro Rail Corporation

Delhi Metro Rail Corporation (DMRC) is a Metro System serving Delhi and its satellite cities of Faridabad, Gurugram, Noida and Ghaziabad in the National Capital Region. It was incorporated in 1995 and started its operations in 2002. It has equal equity (50% each) participation from Central Government and the Delhi State Government. Organised as a corporation, DMRC has a Chairman, board of four directors and the Managing Director who is also the executive head of the organization. The work of DMRC is broadly divided into several functions such as Projects, Operation and Maintenance, Finance, Human Resources etc. which are controlled by the respective Directors who report to the Managing Director. The employee strength of DMRC is currently around 12000.

Delhi Metro is the world's twelfth largest Metro system in length and sixteenth largest in ridership. The network consists of seven colour coded regular lines – Red, Yellow, Blue, Violet, Green, Magenta<sup>1</sup> and Pink. In addition, some more lines are presently under planning/ construction. It also has an Airport express line (Orange line) for serving the passengers travelling by air. It has a track route of 252 kms served by 185 stations. The system has a mix of underground and elevated sections using both Broad and Standard gauges. The ongoing projects of DMRC include building another 160 km of Metro lines which will weave a web of Metro corridors along the city's Ring Road besides connecting with many localities in the NCR. DMRC currently has 266 train sets of four, six and eight coaches. More than a hundred trains of six coach configuration and over 60 trains of eight coach configuration are in operation. DMRC

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<sup>1</sup> The Prime Minister Narendra Modi inaugurated the Magenta line linking South Delhi's Kalkaji and Noida's Botanical Garden on 25<sup>th</sup> December, 2017.



**Map showing the Delhi Metro Rail Network.**

operates about 3000 trips daily. In Financial Year 2016-2017, DMRC had an average daily ridership of 2.76 million passengers and served 1 billion riders during the year.

DMRC has served as the project consultant for most of the metro projects in India. It is also involved in the construction of Metros in Jaipur, Kochi and Mumbai.

Apart from providing the people of Delhi and NCR with a comfortable public transport option, DMRC has also been contributing significantly towards controlling pollution as well as reducing vehicular congestion on the roads. According to a study, it has helped in removing about 390,000 vehicles from the roads of Delhi.

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## The Case Study

### **Code of Ethics:**

DMRC has a documented Code of Ethics (CoE) entitled “Values, Ethics & DMRC Environmental Policies”. After going through it, we laid down the main objectives of our case study as follows:

- a) To ascertain the penetration of CoE in the processes, systems and operations of DMRC. In other words, to observe whether CoE is being followed diligently in all the activities of the organization.
- b) To establish those unique features and actions of DMRC which have resulted in its phenomenal success.
- c) To gauge the sustainability of the success of DMRC.
- d) To prepare a training module on Institutional Ethics based upon our findings and use it to impart training to other organizations.

The printed documents **Values, Ethics & DMRC Environmental Policies** are attached as Annexure III.

The Vision and Mission Statements of DMRC are reproduced below.

### **Vision:**

Commuting experience in Delhi Metro to be customer’s delight.

### **Mission:**

- To cover the whole of Delhi & adjoining areas with a Metro Network by the year 2021.
- To serve customers including ‘differently abled’

commuters with passion.

- To sustain the image of being Number One in the transportation sector in India and to be among Top 3 Metro Rail systems in Asia, with regard to:  
Safety, reliability, punctuality, quality and responsiveness to customer.
- To make Delhi Metro self-sustainable.

### **Data For The Case Study:**

Our inputs for this case study were derived mainly from the following actions and which can be broadly classified in to four heads:

#### **Meetings:**

The tone was set up at the initial meeting itself with the Secretary, Ministry of Urban Development Sh. Rajiv Gauba, representatives of DMRC (Dr. Mangu Singh, Managing Director and Sh. K.K. Saberwal, Director - Finance) and members of ICCfG (Sh. Prabhat Kumar, President, Sh. Shanti Narayan, Gen. Secretary, Sh. Mukund Kaushal, Vice President and Sh. Mahesh Kapoor, Vice President). The ICCfG team also held an introductory meeting with the DMRC directors Sh. K.K. Saberwal, Sh. Jitendra Tyagi (Director – Works), Sh. Sharat Sharma (Director – Operations) and Sh. S.K. Sakhuja (Company Secretary). An interactive session was also held with the former MD, Dr. E. Shreedharan. Several extensive interactions were held with Sh. K.K. Saberwal, who was also the overall coordinator from DMRC's side, with Sh. Sharat Sharma, Sh. Sinha, former Head of HR, Sh. R.D. Choudhury, present Head of HR, Sh. Madhuresh Kumar, former Chief Engineer (Planning and Design) and GM (Operations) and with several officers of various departments of DMRC.

#### **Field visits:**

The ICCfG team visited DMRC's Head Office at Metro Bhavan, New Delhi and even the underground tunneling operations at Vasant Vihar, New Delhi. The team also made visits to DMRC's training Centre at Shastri Park, Delhi and held subsequent discussions with

the HR team. An assessment visit to the Nehru Place Metro Station, New Delhi was made by the ICCfG team and which also covered the parking lot and commercial establishments. To ensure firsthand experience, metro rides were taken during peak hours that covered stations like Kailash Colony, Central Secretariat, Rajiv Chowk, Kashmere Gate, Rohini (West) and HUDA City Centre.

### **Documents:**

ICCFG consulted printed documents of DMRC as well as the ones available on the internet. Extensive e-mail interaction with DMRC also proved to be helpful. Anuj Dayal's 25 Management Strategies for Delhi Metro's Success: The Shreedharan Way (Delhi, DMRC, 2012) was taken in to account wherever needed.

### **Questionnaires:**

After discussions with DMRC, ICCfG prepared 14 questionnaires covering various aspects of Institutional Ethics. These questionnaires were then progressively handed over to DMRC. Subsequently, there were several rounds of clarification meetings. The subjects covered in the questionnaires are:

- a) Behavioural Expectations and Corresponding HR Policies.
- b) Preventing Corruption and Building Integrity.
- c) Communication Channels and Conflict Resolution.
- d) Conflict of Interest.
- e) Confidentiality of Information.
- f) Procurement and Handling of Vendors.
- g) Handling of Assets.
- h) Sponsorships, Donations and Memberships.
- i) Interface with Third Parties.
- j) Complaints and Whistle Blowing.
- k) Public Interface and Grievance Redressal.
- l) Safety, Health and Environment.
- m) Training and Development.

n) Implementation, Monitoring and Evaluation of Code of Ethics.

The replies to the questionnaires constitute the central and most vital inputs of our Case Study. The filled-up questionnaires are attached as Annexure I.

## **Findings:**

### **Ownership:**

DMRC has a unique structure, where fifty per cent of the ownership is with the Central Government and the other fifty per cent is with Delhi Government. Since none of these two entities have a majority holding, DMRC has been granted almost complete autonomy without political interference. The decision making in both strategic and operational aspects has been left almost entirely to the Managing Director and the Board of Directors. This freedom from political interference allows DMRC to function as an independent corporate entity which is capable of unleashing its full potential and reach the highest standards of global performance.

A few days before the commencement of operations, the Government of India appointed Sh. M. L. Khurana, a former Chief Minister of Delhi, as the Chairman of DMRC. This was clearly a political move, intended probably to oversee and control DMRC. Sensing political interference, Dr. Sreedharan promptly called upon Sh. Khurana and explained to him the advisory role of a Chairman. He further appraised him with the executive role and responsibility of the Managing Director. Down the hierarchy, Dr. Sreedharan also explicitly clarified to the senior management that his authority as Managing Director on all executive issues was final. The tenure of the political appointee to the Chairman's post did not last long. Within a few months, Sh. Khurana vacated the post. Since then, the Chairman's post has invariably been occupied by a bureaucrat and not by a politician.

### **Leadership:**

For a new organisation it is important for the leader to set the norms

and values to steer it successfully during turbulent times and under challenging circumstances. Dr. E. Sreedharan, the first MD, set the tone by chalking out an ethical and fearless path. He inculcated a deep value system within the organization by leading from the front through personal example. DMRC has thereby become an organization where ethical practices are not merely confined to a rule book but have become an integral part of the daily routine. By following the course set by his predecessor, the current leader Dr. Mangu Singh is taking DMRC to greater heights of growth and success. Most importantly, the good leadership practices are not merely confined to the top but are being followed at every level down the hierarchy.

DMRC firmly believes that taking a decision is far better than procrastinating or not taking a decision at all. It therefore encourages and empowers its employees to take decisions instead of waiting for the bureaucratic process to take its course. If the urgency of a situation demands, decision-making takes precedence over the hierarchy. Under such situations, an employee is only expected to keep the Management informed of the decision taken. The Management supports its employees even if a wrong decision is taken as long as the intention is right and no malpractice is detected. This high degree of empowerment and encouragement has made a significant contribution in making the organization more effective and to complete projects on time. Tolerance for genuine mistakes and absence of witch-hunting have helped to build trust within the organisation.

DMRC is well-known for its open, transparent and swift communication channels. It starts from the top with the Managing Director holding regular Monday morning meetings with his directors and departmental heads. There are no formal Minutes of Meetings and everyone is encouraged to come up with their problems without any fear of repercussions. Decisions are then taken on the spot with the intention that the managers leave the meeting room equipped with solutions. This culture of trust and transparency runs down the organization with managers following the same good practices within their respective areas of responsibility.

### **Procurement Process and Professional Competence:**

The procurement system of DMRC is fair, clean and transparent. Employees working in the contract management departments are well versed with the procurement manual and guidelines. DMRC lays considerable emphasis on having every vacancy filled with persons with the right professional competence. The selection and promotion policies therefore do not follow conventional time-based processes where persons often land up in jobs for which they possess neither the competence nor the experience. For filling up critical positions, the Managing Director makes an effective contribution by being part of the process for selecting the right candidate.

The Management and HR departments are instructed to resist any internal or external pressures which can lead to irregularities in the processes of recruitment, transfers, promotions etc. If any Manager is threatened or coerced to do something wrong, she/he is advised and encouraged to bring it directly to the notice of the Managing Director. If despite the good efforts and practices in the selection process, a selected candidate does not come up to the expectations, correction is made promptly by making effective changes.

Apart from selecting the right candidate for the right job, DMRC places considerable emphasis on the development of professional competence across the entire organization, be it a train driver or a purchase manager or an automation engineer. Employees are encouraged to make progress in their careers by focussing on enhancing professional competence and following ethical practices. Apart from offering a wide variety of training courses, DMRC has invested in latest training tools which include online real-time simulators.

To meet training requirements, DMRC established its own Training Institute at Shastri Park train depot. The Training Institute is ISO 9001:2015 accredited for design, development and delivery of training programmes. It is equipped with state-of-art training infrastructure including most-advanced simulators for training in the field of operations and maintenance. Apart from professional training, the institute also provides training in soft skills and ethics. Every day of training starts with a morning prayer and concludes

with a session on Yoga and Meditation. To keep abreast with the latest trends, training programmes are reviewed periodically and adapted to the latest requirements. DMRC has an excellent in-house faculty. It also depends on external faculty and renowned academic institutes, particularly for imparting training on soft skills. It is mandatory for every employee to undertake specific trainings at the time of induction as well as before a change of assignment such as a transfer or promotion. Need-based refresher courses are also offered.

The DMRC training model is exemplary and needs to be emulated by other organizations in India. Once a serious training culture sets in, we can expect a significant improvement in the performance and ethical conduct of Indian organizations which will make them amongst the best in the world.

### **Adherence to Code of Ethics (CoE):**

The Code of Ethics of DMRC has been written in a simple and comprehensive manner which makes it easy to read and understand.

Our observation is that the CoE is deeply entrenched in the processes of DMRC. The employees are familiar with it and follow it as part of their daily work routine. For example, when we asked a few randomly-selected employees whether they were aware of terms such as Conflict of Interest, Insider Trading and Money Laundering, they could not only properly explain them to us but went on further to show us where we would find their context in the CoE. The role of the Management in ensuring a high degree of compliance to the CoE is noteworthy. Many senior managers have prominently displayed in their cabins important extracts from the policy. Such displays not only act as constant reminders for themselves but also provide a direction to the employees and visitors who come to them for discussions.

Our meetings with their former MD, current MD, several directors, heads of procurement and other departments revealed a strong undercurrent of ethics while discussing diverse topics such as training, processes, projects, finances, operations and maintenance. Another positive aspect is that even the business partners of

DMRC are acquainted with the Code of Ethics and realize that its compliance is an essential prerequisite for a conducive business environment and achievement of desired results. This deep embedment of ethics in the DMRC culture is one of the significant factors which is contributing to the success of DMRC. It is without doubt the most important aspect which needs to be emulated by other Indian organizations in public service.

**Punctuality:**

This is one work ethics which is severely lacking in several Indian organizations and has been a major hurdle to becoming world-class establishments. Realizing this weakness, DMRC has placed great emphasis on punctuality. It is being practiced like a religion or ‘Dharma’ in DMRC. It is not just about coming to office on time, but it encompasses every activity be it starting a meeting on time or clearing a file as per deadline or finishing a project on time. The notion that “Time is Money” is firmly entrenched in the minds of the employees. To emphasize the importance of time, Dr. Sreedharan and his team had made an initial calculation that every day of delay in project completion costs DMRC a staggering loss of Rs. 23 million. This quantified message has had a profound impact on all employees. They have become time conscious and feel guilty if something is delayed because of their inaction.

Being a stickler for punctuality, Dr. Sreedharan personally set this trend and this has taken deep roots within the organization. We, from ICCfG, were late for our very first meeting with DMRC by around 15 minutes. A senior level DMRC team was waiting for us as we scurried into the conference room. We apologized for the delay and put the blame on the huge traffic of the Delhi roads. Our hosts were polite and understanding but one of the Directors did mention softly that the public expects DMRC services to be always punctual irrespective of the prevailing circumstances. After this meeting we made it a point to be punctual for all our subsequent meetings. In fact we would reach the meetings at least 5 minutes ahead of schedule to test the punctuality of DMRC officials. It is no exaggeration to mention here that DMRC passed the test with full marks. All our meetings invariably took place exactly on time.



Even the Managing Director and Directors exhibited exemplary punctuality.

All this eventually gets reflected in the delivery of services to the public. DMRC has set new benchmarks for timely completion of its projects and in the operations of its trains. For example, any delay beyond 59 seconds for a train is flagged as 'late' and considered underperformance which needs improvement. To avoid time overruns in the completion of projects, reverse countdown clocks are installed at work sites and offices to act as constant reminders.

### **Zero Tolerance to Corruption:**

DMRC has a zero-tolerance policy when dealing with corruption, which means that the organization strives to be an absolutely clean organization in the challenging Indian environment which is otherwise known to breed illegal and unethical practices. The absence of any reported scams, scandals or malpractices is a positive indication that this policy is being successfully implemented at all levels of the organization.

A constant vigil is kept within the organization to monitor and detect corrupt practices. All employees are aware that their services would be terminated if any corruption charges against them are proven. As part of their initial orientation program and subsequent refresher training, it is explicitly explained to them to neither receive nor offer, directly or indirectly, any illegal payments, remuneration, gifts, donations or any other benefits that are intended to obtain favours for discharge of their official duties. Whistle-blowing is encouraged to weed out any corrupt practices. Whistle-blowers are assured anonymity and protection.

As a further measure to check corruption, the organization is completely cashless since 2002. A major drive towards automatic and cashless ticketing is presently underway. All sites, stations, stores and ticket counters are continuously monitored by CCTVs. Critical displays are also available in the Central Control Rooms located in the Head Office (Metro Bhavan) and Training Centre (Shastri Park). Despite the strict policy on corrupt practices, DMRC follows a humane approach. In case of a minor offence which has taken

place either out of ignorance or where the benefit of doubt exists, DMRC believes in settling such cases locally by having a one to one dialogue with the concerned person.

### **Integrity and Sense of Purpose:**

In line with the direction laid down by its first Managing Director Dr. Sreedharan, DMRC believes that integrity is more than just mere honesty. It is a combination of Honesty (an internal value) and Public Perception (an external value). The public perception is a function of the impact an organization makes on the society. For an organization to possess high integrity, it must score well on both these aspects. Integrity building therefore receives very high priority within the organization. DMRC has accordingly set up a very effective Public Relations team to regularly disseminate information to the media in an honest and transparent manner. This forthright and open approach has helped DMRC to develop a positive public tone.

Before the commencement of operations of DMRC, Dr. Sreedharan received many requests from politicians, VIPs and public institutions for free or concessional travel on Delhi Metro. The first metro line from Tees Hazari to Shahdara was formally inaugurated by the then Prime Minister of India, Sh. Atal Bihari Vajpayee, on 24th December 2002. He also took the first metro ride from ISBT station. Just before this ride started, Dr. Sreedharan took him to the ticket counter and requested him to buy a ticket. The Prime Minister graciously obliged. This set the tone for all future operations of DMRC. The message was clear. There would be no concessions and anybody, irrespective of his position and status, who wanted to use Delhi Metro had to purchase a ticket. This is a classic example of integrity and an excellent lesson in institutional ethics.

One of the significant achievements of the DMRC Management has been to instil a genuine sense of purpose among the employees. Employees are taught that they are not merely doing a job but are performing the noble duty of serving the public and society at large. It is emphasized to them that the operations of DMRC improve the quality of life of an average citizen by decreasing commuting time,

increasing comfort, reducing stress and improving well-being. All these factors enhance the ability of a commuter to perform better in her/his profession. To emphasize this point, a comparison is made with the public bus service. The general public perception on the performance of DTC is very poor. It is considered inefficient, unreliable, customer-unfriendly and, above all, corrupt. DTC is also a drain on the exchequer because it continues to make huge financial losses year after year without any turnaround strategy. A large number of public opinions have been expressed against DTC. Many would like the organization to be completely revamped or even disbanded. Most recently, there is a school of thought to dissolve the organization and sell its existing fleet of buses to DMRC who could then be entrusted to provide the much-needed last-mile connectivity. The metro is much faster, very punctual and provides a comfortable air-conditioned ride. By taking the metro to work, a person is fresh and relaxed on reaching the workplace. On the other hand, a person using a public bus service is exhausted and hassled before starting work. The metro thereby makes a significant contribution towards raising the productivity and efficiency of the people and the city as a whole

The glaring contrast between the performances of DMRC and DTC is testimony to the fact that an ethical framework goes a long way in shaping the path and destiny of an organization. The positive aspect is that DMRC's leadership and employees are well aware of this. They know that the essential difference between their organization and others lies in following the Code of Ethics and the policies based upon it. At the same time, this realization of contributing positively towards the uplift of the society has instilled a sense of pride amongst the DMRC employees and has increased their motivation and passion to perform better and achieve higher objectives.

### **Productivity:**

DMRC has made productivity improvement one of its primary goals and is committed to compete with the best in the world. The international norm is to have 35 employees per route kilometre.

DMRC started with 40 employees per route kilometre and through sustained efforts and measures, has now reached the figure of 32. The target is to improve to 30. This is being achieved through:

- a) Adherence to its Code of Ethics.
- b) Well-planned and properly-documented policies.
- c) A result-oriented approach.
- d) All-round efforts to improve employee motivation and efficiency.
- e) Cost reduction and energy saving measures.
- f) Implementation of latest technologies.
- g) Increased automation.
- h) Emphasis on training and development.
- i) Maintaining a low-attrition rate (currently only 2%).
- j) Elimination of unproductive layers of staff such as peons and clerks.

### **Vendor Relationship:**

DMRC has adopted the latest tendering practices such as e-notifications and e-auctions. No internal or external interference in the tendering process is tolerated. Individual meetings with bidders are not permitted. Tender evaluation is carried out in a time-bound manner maintaining complete secrecy. It is made clear to vendors that their bids would be disqualified and even existing contracts would be terminated if any evidence of mischief or corruption is found. Middle-men and agents are strictly debarred. By following these practices from inception, DMRC has instilled confidence among the bidders that they are dealing with an organization of high integrity where success depends upon delivering high quality and performance at competitive rates within the stipulated time schedule.

DMRC treats and respects their vendors as trustworthy and responsible partners and stakeholders in the timely completion of projects and providing satisfactory after-sales services. DMRC realizes that its own success depends upon the success of the vendors.

It therefore tries to ensure that a vendor does not suffer financial difficulties which could delay or jeopardize projects. Vendors never feel the need to beseech DMRC for their due or justified payments. On the contrary, DMRC, in true spirit of cooperation, releases as much as 80% of the due milestone payment unconditionally within 7 days and the remaining 20% within 14 days after verification and certification. This ensures that vendors have adequate financial liquidity to execute the projects as per stipulated schedules. There have also been several instances where DMRC has gone out of the way by lending money to vendors in financial distress. This has also helped to complete projects on time. This fair and forthright relationship with vendors has resulted in development of mutual trust. Vendors assign priority to the contracts with DMRC and take great pride in timely and satisfactory execution of the projects.

### **Concern for the Employees:**

DMRC is very concerned about the physical and mental well-being of its employees. The organization has correctly realized that its productivity and efficiency depend upon the health of people who work for it. Employees are therefore encouraged through awareness programmes to be fit through proper diet, physical exercises, participation in sports, reciting morning prayers and, above all, by doing Yoga and Meditation. Successive MDs and senior functionaries have set personal examples by following these good practices.

Most of the employees feel secure and comfortable working with DMRC because they know that their organization would take care of them during a crisis. A case of a trainee who fell seriously ill one evening in his hostel room was narrated to us. He was rushed to the nearby hospital by his roommate and the hostel attendant. Senior officials of DMRC also reached the hospital to ensure that he was properly looked after and was given the best possible treatment. Since the trainee did not have any medical insurance, the officials took an on-the-spot decision that DMRC would take over the entire cost of treatment. Thanks to this timely help, the treatment proceeded smoothly and the young man was back on his feet within a few days. DMRC takes good care of contractual labour as well. Apart from

other measures, a special fund, called the ‘Labour Welfare Fund’, has been instituted by the Corporation. In addition to the compensation paid under the Employee’s Compensation Act, DMRC pays from this fund a maximum of Rs. 5 lakhs in case of death and up to Rs. 6 lakhs in case of disability. This is a unique fund, unheard of in other organizations in India, and is meant for disbursement only to contractual labour and their families. In the year 2017, an amount of Rs. 76 lakhs was sanctioned for deceased/disabled contractual labour.

### **Concern for the People:**

DMRC has demonstrated how good public service in India can be. It has raised the level of public service to an extent that its commuters experience not merely satisfaction but a feeling of delight while using the metro services. Beyond the clockwork precision of running the trains, DMRC has undertaken several measures to continuously enhance customer satisfaction and public perception. Some of these are mentioned below:

- a) Well planned and simple layout of Metro stations with clear markings and signage. Even a first-time visitor, who has never used the Metro earlier, is easily able to find her/his way, purchase tickets and board the train without facing any problem.
- b) Clear audio announcements. Our observation is that the sound systems are superior to those at Indian Railway stations and airports and comparable to the best in the world.
- c) Possibility to buy tickets either at the ticket counters or through Ticket Vending Machines (TVMs).
- d) Customer Care Centre at every station.
- e) Complaints/Suggestion book at every station.
- f) Friendly and trained staff at strategic points of the stations to help and guide commuters.
- g) Clean and well-maintained toilets at all the stations.
- h) A 24X7 Helpline for passengers.

- i) An updated and interactive website covering practically every facet of DMRC.
- j) An e-mail facility for interfacing directly.
- k) Intent to progressively provide free Wi-fi facility at all stations. This facility is already available at all the blue-line stations.
- l) Lost and Found Section for commuters. The items are listed date-wise on the website.
- m) Proactive dissemination of information via newspapers, TV and website.
- n) Regular meetings with Resident Welfare Associations (RWA) and public residing in the vicinity of construction sites to ascertain their problems and difficulties.
- o) DMRC has assigned a nodal officer of the rank of an Executive Director for all public communications. It is his responsibility to respond to every valid grievance from the public. Grievances are usually addressed within 3 to 5 days.

DMRC is member of the international metro communities Nova and CoMET. DMRC was part of the Nova group of metros until 2014. Due to its rapid expansion and increase of passenger traffic, it has been elevated to the CoMET group since January 2015. There are a total of 34 metros across 32 cities of the world who are members of CoMET and Nova. The members voluntarily share their important statistics to benchmark their performance across metros. The key objective is to identify and share good practices within a confidential framework. For a Customer Satisfaction Survey conducted by CoMET in 2016, DMRC achieved a weighted average of 7.45 on a scale of 10. This indicates a high degree of satisfaction among the commuters and is indeed a proud achievement for an Indian company.

The excellent public perception and good scores in customer satisfaction surveys are not entirely because of the efficient and comfortable metro service being operated by DMRC. It is also

because people consider DMRC as a humane organization that cares for them and is concerned about their welfare. DMRC has set some excellent examples which support such an impression. Given below are some cases.

The old Daryaganj area houses a number of dilapidated buildings and structures. During the tunneling process, people had to be evacuated from these buildings as a precautionary measure. A total of 2000 persons were evacuated in phases. They were put up in various guest houses situated in nearby areas and DMRC paid for their lodging and boarding. DMRC also repaired their houses before shifting the residents back.

During festive times in Delhi and NCR, many people prefer to travel by metro in order to avoid traffic jams on the roads. In anticipation of this, DMRC runs more trains and increases the frequency of service. Furthermore, DMRC management directs its staff to travel via metro on their way to duty to ensure immediate assistance to commuters in case of any operational or technical glitches. In this manner, any minor issue or incidence which may adversely affect the travel experience of millions of passengers in the festive season is directly monitored and attended to in the least possible time. This is yet another example of people-centric measures taken by DMRC to provide world-class travelling experience.

Despite the fact that DMRC does not presently make profits and is not bound for Corporate Social Responsibility (CSR), it is actively engaged in serving the society. It runs a Children's Home in Tis Hazari, in collaboration with the Salaam Balak Trust and an Old Age Home in Govindpuri, in collaboration with HelpAge India. Both these Homes have been highly successful and are being optimally utilized.

### **Safety, Health and Environment (SHE):**

DMRC's devotion and commitment to the cause of Safety, Health and Environment are commendable. DMRC has formulated concise and comprehensible, and yet very effective, policies covering practically every aspect of SHE. These include, for example, distinct policies on Energy, Water and Waste Management. As a constant reminder



to employees, business partners and general public, these policies are prominently displayed at strategic locations. The emphasis can also be seen in the monthly newsletters of DMRC where these subjects find prominence. DMRC also insists that all its contractors comply fully with its guidelines on SHE. In fact, contractors are liable for disqualification or rejection for non-compliance. It is mandatory for a vendor to have a tie-up with a local hospital for medical emergencies. All SHE activities of DMRC are regularly audited by independent external agencies for conformance to the applicable national standards. We have listed below some of the best practices which DMRC is implementing and which set it apart from other organizations in India:

- a) Continuous availability of fire-fighting and life-saving equipment which are checked and calibrated regularly to ensure 100% serviceability.
- b) Conducting mock drills on fire-fighting and other emergency services on monthly basis to ensure full awareness.
- c) Availability of 24X7 Ambulance services at work sites.
- d) Nomination of fully-trained emergency response teams at each work site.
- e) Repair of weak buildings and structures in the vicinity of construction sites.
- f) Extensive use of latest technology for sensing and signalling to avoid accidents.
- g) Elaborate training of drivers and operators using real-time simulators to ensure safety.
- h) Availability of clean drinking water at worksites which is routinely tested for quality.
- i) Progressive digitisation of all paper records into CDs.
- j) Recycling of waste paper. The waste paper is taken away by a nominated vendor who in turn supplies office stationary.
- k) Effective utilization of e-Waste. For example, old PCs are given to NGOs for use by school children.
- l) Using water sprinklers every 3 hours at all sites to

- prevent flying dust. If not done, this can prove to be a major health hazard for the public living in the vicinity.
- m) Washing the wheels of vehicles before they move out of work sites.
  - n) Covering all waste material before transportation. Transportation of open waste is strictly prohibited.
  - o) Transporting recyclable waste to recycling plants.
  - p) Transporting during night hours only when traffic density and pollution levels are low.
  - q) Regular cleaning of accumulated dust on barricades put around construction sites.
  - r) Daily cleaning of all metro stations and metro trains in the early morning hours.
  - s) Regular monitoring of air quality at worksites.
  - t) Using RO rejected water for watering of plants.
  - u) Recycling waste water through sedimentation tanks.
  - v) Application of variable frequency drives to save energy.
  - w) Using energy-efficient LED lamps only.
  - x) Focus on clean renewable energy such as solar power.
- In fact, most future needs are expected to be met by solar energy only.

### **Concern for Environment:**

DMRC has also formulated a unique policy to plant 10 saplings for every tree felled by them for their construction projects. To ensure that correct saplings are planted and maintained, it has engaged the services of the Forest Department, Government of Delhi.

The Delhi Metro has also contributed tremendously to the environment by becoming the first ever railway project in the world to claim carbon credits for regenerative braking. The United Nations in 2010 certified Delhi Metro as the first Metro rail in the world to get “Carbon Credits” for reducing greenhouse gas emissions. Besides reducing vehicular traffic congestion, it has helped Delhi

and NCR region to reduce pollution levels by 630,000 tons every year which is indeed very commendable. All new stations are being constructed as green buildings.

Prakriti Metro Park is a unique park created by DMRC using 25 tonnes of scrap and 5600 cubic meters of muck from various metro construction sites. Spread over an area of over 10 acres, this park has a host of recreational and artistic attractions. Facilities such as an auditorium, amphitheater, meditation alcove, playground for children and gymnasium have been provided for the visitors. A lake with a fountain and a rainforest has also been created inside the park.

The main highlights of the park are 12 beautiful installations created entirely out of waste and scrap materials. The artistic Tellis Court, right in the centre of the park, has eight pillars of progressively increasing height. They depict the growth of DMRC from a nascent organization to a confident and evolved organization. The park reflects the concern and care of DMRC for the environment. A gallery has paintings about the importance of environmental protection. Top soil from several underground station sites has been utilized for the gardens, which house medicinal and pollution-absorbing plants. Trees and bushes that attract birds, as well as those which repel mosquitoes, are planted all around the park. The water requirement is met by a sewerage treatment unit in the vicinity. The lake has been integrated with the rainwater harvesting pit. Electric power is fed by solar panels mounted above the auditorium. Dried leaves and grass are used to make natural manure.

In recognition of its numerous environmental-friendly features, the Indian Green Building Council (IGBC) has given the park 'Platinum' rating. By creating such a park, DMRC has set a benchmark in Corporate Social Responsibility (CSR). This wonderful gift to the citizens of Delhi has proved that DMRC is an organization that cares for the people and is making a conscious effort to improve the environment.

### **Sustainability:**

While DMRC has very good systems and processes presently in place, there is scope for improvement in some areas to ensure its

successful journey into the future. It will need to strengthen itself and become more agile to adapt to a rapidly changing environment. This is particularly important because the coming years are expected to be far more turbulent than what the previous decades have been. Rapid technological advancements such as e-shopping, increasing automation/robotics, bullet trains, driverless electric cars, drone courier services, underground/ flying vehicles, hyper loop mobility etc. will make a significant impact on the operations of conventional metro rail systems. DMRC therefore needs to focus intensely on preparing itself to face the challenges lying ahead so that it can remain the backbone of the city's transportation system for at least the next 4 to 5 decades.

Based upon our study, we have made some suggestions which would help to improve the long-term sustainability of Delhi Metro. These suggestions are in line with some of the best practices being followed by world-class organizations and have been attached at Annexure II.

### **Conclusion:**

The purpose of this Report has been to study the Best Practices being followed by DMRC which, when replicated, can lead to improved Institutional Ethics and overall effectiveness of other institutions. This certainly is not the end of our Study but the beginning of a long journey. The experience of associating with DMRC has been rewarding and educative. It has provided us with energy, vigour and above all, hope that institutions in India can do much more and be amongst the best in the world by following the path of ethics.

Institutional ethics can be likened to a road on which a vehicle, which in this case is the Institution itself, travels. If this road is well maintained and smooth, the Institution can expect to have a smooth and comfortable journey to achieve many milestones of success and growth. However, if this road is slippery and full of potholes, the ride is bumpy and hazardous. It is then only a question of time before the Institution falls into a state of ruin or completely collapses.

The driver of the vehicle is the institutional leader. She/he has to ensure that the path of ethics is followed against all odds and hurdles.

There is no dearth of negative forces which are constantly seeking opportunities to create roadblocks. These forces challenge the intrinsic ethical strength of an Institution and it is then that the leadership has to exhibit unflinching integrity to steer it out of trouble.

To summarize, institutions can function efficiently and effectively if they ensure that:

- They have a well-documented Code of Ethics which is an integral part of all their policies, processes and procedures and
- Its leadership and employees imbibe the spirit of these documents and adhere to them in their daily routine.

Our next step now is to create a training module on Institutional Ethics based upon our learnings from DMRC. We intend to use this module to increase the awareness of other Indian Institutions on the importance of ethics. We are confident that our efforts will bear fruit. Once this awareness seeps in and creates strong roots, we can expect a significant improvement in the levels of Public Service and Governance in our country.

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# **ANNEXURE I**

## **QUESTIONNAIRES AND REPLIES**

## **(a) Behavioural Expectations and Corresponding HR Policies**

1. **Has DMRC laid down the following principles in its HR policies and expects that they will be the foundation for all its activities?**
  - a) **Compliance to the applicable laws.**
  - b) **Conformance to the rules, policies and guidelines of the Organization.**
  - c) **Respect for the personal dignity, privacy and personal rights of every individual.**
  - d) **No discrimination with respect to caste, creed, culture, colour, race, ethnic background, religion, sect, belief system, age, disability and gender.**
  - e) **Zero Tolerance to violence, coercion, harassment, molestation, or any other offensive behaviour.**
  - f) **Excellent team building. This includes working together constructively and harmoniously to achieve the set objectives.**

DMRC has laid down these principles in its HR policies and deeply implemented them in DMRC work culture.

- a) 100% compliance to the applicable laws.
- b) 100% conformance to the rules, policies and guidelines of the Organization.
- c) Due respect for personal dignity, privacy and personal rights of every individual.
- d) Zero discrimination with respect to caste, creed,



culture, colour, race, ethnicity, etc.

- e) Zero tolerance to violence, coercion, harassment, molestation, or any other offensive behavior.
- f) Effective performing teams are an outcome of DMRC's deep rooted work culture.

**2. Do the above principles constitute an integral part of the Performance Assessment of an employee?**

All the above principles constitute an integral part of Performance Assessment of each and every DMRC employee.

**3. What are the practical steps taken by DMRC to ensure that its employees live by the above principles so that they can together build a strong and excellent organization based upon top performance with the highest ethics?(As an example, a detailed Do's/Don'ts list which act as a guide for expected behaviour.)**

DMRC ensures that all its employees live by the above principles, so we can ensure development of an organisation with higher ethics. In order to attain this, DMRC has taken various steps. Some of them are:

- Documented Code of ethics.
- Mandatory Code of Ethics training.
- Enabling work culture etc.
- Open working environment.
- Zero tolerance towards corruption etc.

**4. How does DMRC ensure the following professional behaviour from its employees, particularly the technical management and staff? Kindly illustrate with examples.**

- a) To take decisions based upon the safety, health and welfare of the public as well as the impact on the environment.
- b) Undertake a task only if qualified, trained and experienced to accomplish it.

- c) **Accept responsibility for the outcome and consequences of decisions, designs, drawings and application.**
- d) **Assign high priority to innovation and quality to achieve best results.**
- e) **Promptly point out technical, economic and social challenges and deficiencies so that timely corrective actions can be taken.**
- f) **Be honest and realistic in seeking credit for oneself as well as in acknowledging the contributions made by others.**
- g) **Be fair and impartial in all assessments, approvals and inspections.**
- h) **Prepare clear and comprehensive documentation based upon sound principles and practices.**
- i) **Not to leverage knowledge and technology for unfair gain or advantage**
- j) **Reject all forms of bribery; it is often disguised as "Technical" recognition, appreciation or award.**
- k) **Constantly strive to improve knowledge and increase competence.**
- l) **Share knowledge which is not confidential or proprietary and assist co-workers in their professional development.**

DMRC has created stringent policies to exhibit professional behaviour across all strata of the organisation.

Some illustrations are:

- There are policies for safety, health and environment which work as a handbook for all decision making.
- Recruitment conducted for niche positions.
- Proactively customized training modules. On the job trainings are some of the methods utilized to

undertake difficult tasks.

- Strategic interventions from outside and from within the organization to prioritize innovation and quality for best result achievements.
- DMRC conduct rules and code of ethics. DMRC conduct rules enable the employees to understand the foundation principles and practices of DMRC.

DMRC code of ethics ensures clarity in performing duties in challenging situations.

**5. Does DMRC have specific training modules on Behavioural Expectations and Attitude Correction/Improvement? If yes, what is the frequency of refresher courses?**

DMRC designs specific training modules for the Behaviour Expectations and Attitude Improvement for its employees. The frequency of refresher courses is need-based.

**6. Are the medical facilities and health checkups for DMRC employees limited to physical diagnosis and treatment only? Is mental health an integral part of all checkups?**

Medical facilities and health checkups are not limited to physical diagnosis and treatment but also to mental health. Some of the health checkups for DMRC include:

- Psychological testing by RDSO for Train Operators.
- PME (Periodic Medical Examination) in DMRC is done by age of 45 years at four years interval.

Any abnormal behaviour is a cause of concern and mental health is checked and suitable assistance provided.

**7. What steps are taken if the behaviour of an employee does not meet the organizational expectations? On the other hand, is good and exemplary behaviour rewarded?**

In case the behaviour of any employee does not meet the organizational expectations, due counselling is done by HR. Good and exemplary behavior in DMRC is awarded by our

internal policy on positive discipline rules.

8. **Bad behaviour of an employee can be attributed to a variety of reasons. For example, leave has not been granted despite genuine reasons or an expected promotion has been denied. Do your HR policies address this issue or is it left to discretion of the supervisor?**

In DMRC, HR follows an open door policy, where any grievance or unusual behaviour is immediately taken care of. HR follows a strategic rule in such scenarios and assists in due counselling of its employees without hampering the organizational work.

9. **Does DMRC provide access to counselling by trained psychologists to improve behaviour?**

Till date no such case to improve behaviour by trained psychologists has been recommended.

10. **How is the behaviour of a candidate assessed at the recruitment stage? Are specific psychological tests undertaken?**

The behaviour of candidates is assessed by the interview board at the recruitment stage. However, for critical positions like CRA, SC/TO, DMRC conducts psycho test through RDSO.

11. **On a scale of 1 to 10, Candidate Y is found to be high on Ability (8) but low on Attitude (4). On the other hand, another candidate Z is evaluated low on Ability (4) but high on Attitude (8). If only one vacancy exists, which candidate is likely to be recruited? Y or Z? Is there an HR policy on Ability and Attitude?**

No such policy to relate ability and attitude of candidates to be recruited has been formulated till date.

12. **How does DMRC prevail upon its vendors and third parties to conform to its work ethics and behavioural expectations?**

DMRC undertakes a declaration to refrain from corrupt and fraudulent practices from its vendors and third parties to conform to our work & behavioural expectations.

- 13. According to you, what are the unique and distinguishing aspects of your HR policies and work ethics which provide an edge over other Public Sector and Government Undertakings? Please also state some best practices which you follow?**

DMRC has broadly created its own HR policies and work ethics which give it an edge over the other PSUs and Government undertakings. Some of the best practices are:-

- Open door policy.
- HR Aap ke Dwaar.
- Transparency in working.
- Swift decision making.
- Frequent meetings.

Super fast output.

- 14. How have the leadership qualities of your first CMD been institutionalized? How has DMRC absorbed his work ethics to ensure sustainability?**

Leadership qualities of Shri E. Sreedharan, first CMD have been institutionalized and form a basis at Delhi metro. For example:

- i) Punctuality is religiously followed by each and every employee.
- ii) Going an extra mile to provide output.

- 15. Do you consider that technology can be effectively used for improving behaviour and work ethics?**

Technology can be effectively used for improving behaviour and ethics as it ensures greater transparency, reduces time frames and eventually the related grievances. So, overall it makes technology a more reliable tool for improving ethics.

**16. What has been the impact of Japanese work ethics and discipline on the behavioural expectations and corresponding HR Policies of DMRC?**

The Japanese ethics of perfect planning, monitoring of execution, team work etc. are inbuilt in DMRC working.

**17. Do you feel that international best practices for work ethics and discipline are difficult to implement in the Indian conditions?**

No, it is possible for DMRC to adopt best practices as it strives to be the best, and had also shown the same for years now.

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## **(b) Preventing Corruption and Building Integrity**

1. **Does DMRC have a documented Zero Tolerance policy for Corruption?**

Yes.

2. **Does DMRC have a policy for gifts and hospitality?**

Yes, it is clearly explained to them in Code of Values and Ethics and Conduct Rules of DMRC.

3. **How does DMRC ensure that it conducts business only with reputed companies, consultants and business partners who are involved in transparent and lawful activities, whose funds are derived from legitimate sources and with whom only cashless transactions take place?**

DMRC conducts its business through e- tenders which are transparent in nature and it includes a compulsory clause which states that they will comply with the anti-corruption policy of DMRC.

4. **What steps are being taken by DMRC to continuously improve its anti-corruption measures and policies?**

A strong vigilance Department is in place. Vigilance awareness week is celebrated every year reemphasizing the same. Seminars/Workshops are also conducted at regular intervals.

5. **Do the contracts with Vendors and Third parties include a clause which states that they will comply with the anti-corruption policy of DMRC?**

Yes.

6. **Are employees trained and encouraged to report immediately to the Vigilance Office or Ombudsman any pressures (or incentives) to interact or do business with a non-conforming Vendor or Third party?**

Normally such pressure is not there. However, in such circumstances, employees are free to approach higher officers.

7. **How would a manager react if he is pressurized by his superior or requested by a colleague to recruit a particular person?**

Yes, it is clearly stated under Conduct Rule-22.

8. **Does DMRC have a policy which explicitly prohibits the use of any middle-men or Agents for their business?**

Yes.

9. **Is a Signing Authority policy strictly followed for all financial transactions even under urgent/emergency conditions? Is a documented system for Delegation of Authority in place?**

Yes.

10. **Is there a policy for inventorying, storage and disposal of scrap material?**

Yes .

11. **Are the sites of DMRC under 24X7 continuous surveillance by CCTV cameras? Are these cameras connected to the central control room?**

DMRC stations are under the surveillance of CCTV cameras and the same are connected to central control room where CISF regularly monitors the same.

12. **What is the frequency of compliance audits in the offices, stores, work areas and sites of DMRC?**

Regular Intervals.

13. **Are internal guidelines available for dealing with persons who are under investigation and those who have been found guilty of indulging in corrupt practices?**



Yes.

- 14. Do integrity building courses form an essential part of the training programme of DMRC?**

Yes, DMRC lays a lot of emphasis on integrity and has laid down code of values and ethics. These are also reinforced in every training imparted to DMRC employees.

- 15. Are the employees made aware of Intellectual Property Rights and the consequences of violation of the same?**

Yes.

- 16. As part of work ethics, are employees encouraged to maintain proper records of all financial transactions? While taking over or handing over projects midway during execution, is a proper status analysis undertaken and recorded?**

Yes.

- 17. Does DMRC have a Vigilance Manual? If yes, would it be possible for us to go through its contents?**

Yes, a copy of the same is available on DMRC website.

- 18. Keeping in view your excellent track record, which are the best practices being followed by DMRC to prevent corruption and have a high reputation for integrity?**

Some of the best practices are as below:

- a) E-Tendering process to minimize contract interference.
- b) A robust 2 envelope system to ensure confidentiality.
- c) A pre- bid tender meeting is conducted to resolve any query from contractor end.
- d) The tender is usually decided within the validity of offer to avoid any malpractice allegation.

- 19. Can you share with us one or two success stories where DMRC handled difficult and awkward situations in a clean and effective manner?**

A book titled “25 Management Strategies” concerning these issues may be useful in this matter.

20. **Do you have any measurement for corruption, for example a Corruption Perception Index (CPI) from an independent rating agency? How do you benchmark the measurement with international organizations?**

No.

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## **(c) Communication Channels and Conflict Resolution**

**1. What are the channels of communication used by the Management to meet and address the employees?**

DMRC follows various different channels of communication. There are formal and informal communications via written and verbal modes. There is a meeting every Monday where MD addresses the HoDs and the progress of projects and issues related to O&M are discussed threadbare. There is a monthly MD message. Interactions between all Dy. HoDs with Directors and MD happen monthly. HoDs address their executives often through verbal communication. Open door policy is followed by every HOD for handling grievance and interaction with employees.

**2. Frequency of communication?**

Different communication processes have different frequency. MD Message is monthly communication to all employees. HoD and Dy. HoD meetings are pre-defined. The MD meeting with HOD- Every Monday, MD/Dir./HOD/Dy. HOD - one month.

Rest every department schedules its own meetings. However, most of the work related communication is need-based at junior level.

**3. Accessibility of CEO and senior Management to individual employees?**

DMRC follows an open door policy where every employee has freedom to access seniors. We have an online grievance redressal procedure with a closure time. HR invites suggestions for improvement on a periodic basis.

**4. Communication by Example. Is the Management bench-marked and evaluated as per this criteria?**

No. Communication by example is usually not followed in DMRC.

**5. How are Organizational and Individual targets communicated?**

All the targets are communicated via a formal written communication and documented in the performance appraisal of the employee. Any change in individual and organisational target is written and documented.

**6. Average Time spent by the Manager/Supervisor with individual employees during Target Setting and Performance Evaluation?**

DMRC views target setting and performance evaluation as a key strategy to retain and motivate employees. However, no such data for average time is available.

**7. How are Weaknesses and Areas of Improvement communicated to employees?**

The weaknesses and areas of improvement are well documented and communicated in written through the annual performance report. The employee is also counselled verbally on a periodic or need basis.

**8. Are there Inter-departmental meetings for alignment and team working?**

Yes, Inter-deptt. meetings happen frequently on a need basis for process improvisation and conflict resolution for objective alignment.

**9. Regular Team Building Excursions/Exercise?**

DMRC conducts Effective Team Building workshops for its employees.

**10. What are the in-built system checks to avoid both over and under communication? How is a culture of open and transparent communication inculcated in the Management systems?**

No systematic checks are available at present to evaluate optimal communication but DMRC has a healthy culture of open and transparent communication which keeps communication issues at bay.

**11. Are Communication Skills evaluated as part of overall Performance? Is need-based training imparted?**

Yes, Communication skills are evaluated as a part of overall performance as an attribute of performance. A training need identification is done based on performance appraisal. In case a need is felt, a training under this area is imparted.

**12. What is the role of HR in facilitating communication?**

HR is a facilitator for ensuring proper communication and minimising grapevine. HR at DMRC is proactive in optimal communication through different communication channels available in the organization.

**13. How are rumours and gossips handled within the Organization?**

Rumours and gossips are a part of any communication in any organisation and DMRC is no exception. However, DMRC employees understand that any communication if true will be notified from at least one more channel of communication and can be verified. So, this puts gossips at rest.

**14. How is external communication to the Press and outside world regulated?**

All the external communication to Press and others is done by DMRC's Corporate Communication Team only.

**15. Annual Employee Survey by an external Agency?**

No.

**16. Are need-based services of mental health specialists (such as psychologists) used for conflict resolution and employee motivation?**

No such need for mental health specialists (such as

psychologists) for conflict resolution and employee motivation has arisen till date.

**17. What, according to you, are the best practices being used by DMRC for effective communication and conflict resolution? Can these be adopted by other Government and Public Sector units?**

The best practices for effective communication and conflict resolution at DMRC are

- Open and Transparent Communication.
- Open Door Policy.
- Role of HR and HR aapke Dwaar.
- Utilization of various modes of communication.
- Periodic and need based communication.

Yes, these can be well utilized in other organisations in Government and Public Sector Units.

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## **(d) Conflict Of Interest**

**1. Does a detailed policy exist for Conflict of Interest?**

The Code of Values and Ethics form a broad base for any conflict resolution and clause 11 deals with the same specifically.

**2. Conflict of Interest is often not properly understood by many employees. Is adequate training provided on this subject at the time of joining and during the working life?**

Conflict of Interest is clearly explained to the employee during joining process and she/he is given training how to resolve any conflict of interest by using Code of Values and Ethics.

**3. Are employees at all levels aware that they should not trade in stocks of companies they are dealing with at the official level?**

Yes, it is clearly explained to them under the conduct rules (Rule 14).

**4. How does the Management handle a situation when a Departmental Head decides to marry a subordinate?**

Management handles this situation very professionally. If the Head and Subordinate are in direct reporting relationship, one of them is transferred to another location to avoid any conflicting situation.

**5. Are employees aware that they are not permitted to use, for their personal contracts, individuals/companies with whom they have dealings as part of their work?**

Yes, it is clearly stated under Conduct Rule-31.

6. **Does the Policy clearly stipulate that employees should not participate in sideline activities that prevent them from fulfilling their official duties and responsibilities?**

Yes, it is clearly stated under Conduct Rule-13.

7. **Is it mandatory for the concerned DMRC employees to declare if a close relative is working with a vendor?**

Yes, it is clearly stated under Conduct Rule-6.

8. **Is there a policy which prohibits employees from approaching vendors for favours such as providing training or employment to their relatives or friends?**

Yes, it is clearly stated under Conduct Rule-6.

9. **As part of integrity training, are employees made aware that conflicts of interest can arise even after leaving the company?**

Yes, it is clearly stated under Code of Values and Ethics (clause 11).

10. **As per the HR policy of DMRC for officers, is there a defined cool-off period between the retiring date and the date of taking up a new assignment with another company in a similar field or with an approved vendor?**

Yes, there is a cool off period of 2 years between the leaving date and the date of taking up a new assignment with another company in a similar field or with an approved vendor.

11. **Does the HR recruiting policy of DMRC prohibit the recruitment of senior management personnel from a competing organization or from an active vendor?**

Yes, we take care of this while recruiting through our open advertisement policy.

12. **If possible, please provide a couple of actual examples of Conflicts of Interest and how these were satisfactorily managed by DMRC.**

There is no such documented case.

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## (e) Confidentiality of Information

### **Definitions:**

Confidential or propriety information is generally provided to a restricted group of persons within the Organization. Information, which is available in the public domain, is not considered confidential information. This includes the information on the website, printed literature, advertising material, annual statements etc. It must however be kept in mind that all such information is to be considered as confidential until the date of release.

As part of both personal and work ethics, employees are expected to maintain confidentiality even after the termination of the employment relationship.

In general, the following information is considered as confidential, the divulging of which is considered unethical unless specifically authorized and/or required as per law (such as RTI Act).

- a) Internal discussions and records which includes outcome of Board Room discussions.
- b) Internal structures, processes, policies, guidelines, reports, workflows and proceedings.
- c) Details of Assets, including file and data storage locations.
- d) Presentations, strategic plans, cost structures, financial data and figures.
- e) R&D data, innovations, intellectual property and improvement suggestions. This also includes knowledge repositories and data banks.
- f) Details of offers received and their evaluations.

- g) Contracts with suppliers, service providers, consultants etc. including prices along with terms & conditions.
- h) Plans, cost calculations, schedules, technical designs/ documentation, site equipment, SHE (Safety, Health, Environment) measures.
- i) Records of public dealings, feedback, complaints and corrective actions.
- j) Reports of internal/external audits.
- k) Personal data of employees.

**Questions:**

1. **Does the IT policy of DMRC permit the use of private laptops, notepads, smart phones etc. for official work? If yes, what are the protection and security measures taken?**  
Yes, access to internet is restricted as per policy.
2. **Can employees access public domains (Gmail, yahoo, Hotmail, Facebook etc.) from the computers provided by DMRC?**  
Yes.
3. **How does the Organization prevent that confidential information is leaked to an unauthorized contact by using public domain servers?**  
A policy for this issue is under formulation.
4. **Are there any examples of such leaks and the preventive/corrective measures taken by DMRC?**  
No leaks have happened.
5. **Is there a policy for the categorization of the flow of information within the Organization (for example, Restricted, Confidential, Sensitive, Classified etc.)? Are the documents (whether paper or electronic) being marked accordingly?**

Yes, only hardcopies are treated as official documents. In case any information which is Restricted, Confidential, Sensitive, Classified are marked or sealed accordingly and delivered to user directly.

**6. Does DMRC have a policy for Insider Trading?**

Not applicable; DMRC is not a listed company.

**7. Are all confidential paper documents stored in locked file cabinets or rooms and are accessible to only specifically authorized persons?**

Yes.

**8. Are all the electronic confidential information protected by firewalls, encryption and passwords?**

It is protected by individual user by his access password.

**9. Is it mandatory for employees to clear their desks of any confidential information before leaving the office?**

Any confidential information is kept under lock and key of the person concerned.

**10. Is there a rule that employees should switch off their computers before leaving office so that no confidential information is visible on their computer monitors?**

Yes.

**11. Are employees specifically instructed on proper disposal of confidential information? For example, the print-out of a confidential document should be shredded before throwing it away.**

Yes.

**12. Are employees aware that they should not talk or discuss confidential information in public places?**

Yes, only Corporate Communication Department is authorised to communicate to outsiders on behalf of DMRC.

**13. Before disposing off an old computer, is the stored data erased?**

Yes.

14. **Is the level of personal data/information of individuals restricted within the HR department? For example, a junior employee in HR should not have unrestricted access to all the personal information of the CEO and directors.**

Yes.

15. **Does the confidentiality policy of DMRC describe the level of access to confidential information for each level/grade of employees?**

No.

16. **How is the Confidentiality policy being monitored and enforced in DMRC?**

A system is in place for this purpose.

17. **Is every employee required to sign a "Non-Disclosure" agreement?**

All Employees sign the "DMRC code of Values and Ethics".

- 18) **Does DMRC insist that all its business partners also have a Confidentiality Policy?**

Yes.

- 19) **Is regular training being provided to the employees on this subject?**

No.

- 20) **Is DMRC certified as per the international Information Security standard ISO 27001? If not, is certification planned?**

No.

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## **(f) Procurement and Handling of Vendors**

The objective of DMRC is to be a world-class procurement organization with a strong ethical base. The employees, who are entrusted with procurement activities, must have a strong professional and ethical approach for fair dealings with all suppliers.

**1. How does DMRC ensure that its employees act in accordance with the following principles?**

**a) Comply with the laid-down policies for procurement.**

DMRC has a Procurement Manual for Contracts, which has been prepared generally in line with the one issued by Central Vigilance Commission, Department of Expenditure, Ministry of Finance and directions issued by Govt. of India on the issue of tendering and procurement. All the employees working in procurement section are well versed with these guidelines and are required to follow these guidelines without any exception. No deviations in any tender, irrespective of value, are made in these guidelines.

**b) Carry out business in an atmosphere of trust, honesty and good faith.**

For efficient working and fast decision making, it is a must that all the employees of Procurement Section are honest, trustworthy, have faith in the System and have integrity beyond doubt. Each employee needs to have full trust & confidence in their Seniors and Juniors. Similarly, all the employees are encouraged to maintain confidentiality in dealing with procurement, minimum interaction with the bidders (except pre-bid meeting) and seeking of information, if required, from all the bidders, giving equal opportunity to

all the bidders are practiced all the time. The observance of cut-off date and time etc. are followed strictly. The information of prospective bidders is never disclosed to other bidders. The officials in Procurement cell are allowed to express their opinion without any fear of being ridiculed. A free and frank atmosphere has been developed wherein a lowest rank official has freedom to express his opinion to any official associated with procurement.

Further, no deviations over the laid down procurement policy are done from tender case to case. Further, no interference in tendering process is tolerated at any level and tender evaluations are carried out in time bound manner.

Following this practice from inception, DMRC has instilled confidence in the bidders resulting in their faith, trust and confidence in procurement system of DMRC.

**c) Create and nurture a culture of courtesy and integrity in dealings with suppliers.**

As stated above, the officials are discouraged to have interaction with the suppliers so that confidentiality of procurement process is maintained all the time. The suppliers are politely advised not to have any clarifications on telephone and they are advised to seek the same if any, by email, fax etc., so as to avoid any information getting disclosed even involuntarily.

In all the NITs of DMRC tenders, a provision of seeking clarification & pre-bid meeting is kept in which the prospective bidders are free to seek any clarification regarding tender documents or its clause etc. They are given patient hearing during the pre-bid meeting and DMRC decisions on all the clarifications sought by them in writing are uploaded as addendum for benefit of all the prospective bidders. If any necessity is felt regarding amendment of any tender conditions, the same is also uploaded as addendum duly amending the existing tender conditions.

**d) Encourage active and fair competition.**

In DMRC procurement, no. of conditions such as

mobilization advance, plant and machinery advance, advance for the material at site before its utilization, billing and prompt payment, etc. are provided to encourage competition among bidders who are meeting other technical requirements. To ensure fair competition, no relaxation to any technical conditions is made post-bid opening so that prospective bidders who could not participate due to specific conditions of tender, are not put to any disadvantageous position.

Further qualification criteria of experience of work, turnover etc. are kept strictly as per CVC guidelines and no changes are carried out from tender case to case. Fair evaluations are carried out and, if required, clarifications are sought before final evaluation.

**e) Refuse personal gifts and favours.**

Right from top to bottom, officials take pride in refusing any personal gifts and favours if any such attempts are made by bidders. The bidders / contractors are clearly and in unequivocal manner told to desist from such practices. Further, there is a system of knowledge sessions in DMRC, wherein officials are encouraged to attend. The topics in these knowledge sessions are presentation on technical issues, motivational talks etc. for self development. There is also system of recognition of meritorious services rendered by officials during the year at the level of Directors and MD. Further, such officials are also given cash awards when any milestones, such as opening of section etc., are achieved by DMRC. The meritorious officials also achieve progression in their career not only in DMRC but also in other Metros where they get quantum jumps financially as well as higher responsibilities. The management of DMRC also encourages such officials to go on deputations or absorptions in other organizations.

**f) Declare if any vested interest exists in a supplier. Declaration should also be made if a close relative or friend is working with a supplier.**

If any official has any vested interest in any supplier or a

close relative is working with a supplier, he has to declare the same before dealing with the tenders where such supplier has participated. In such a case, such official is not allowed to deal the tender and is replaced by other official. In case of senior officers, they recuse themselves in such cases.

- g) Buy products and services at the right price from the right source in the right quantity. In addition, conformity to specifications and timely delivery are essential.**

In the tender documents, all the information regarding product and services required are spelt out with complete specifications, drawings, time period, schedule of supply, level of requirement of services and its objective assessment and frequency of same etc. Further, if there are any clarifications required, same are dealt in a pre-bid meeting and all the clarifications sought by the prospective bidders are posted on-line by issue of addendum so as to benefit all the prospective bidders. If it is felt necessary to incorporate any changes in tender documents, same are also incorporated in the addendum for benefit of all.

- h) Make efforts to negotiate a transparent, equitable and mutually acceptable deal in order to minimize the possibilities of controversy, claims and arbitration at a later date.**

As a practice and also in terms of CVC guidelines, DMRC does not encourage any price negotiations after bidding. DMRC strongly believes that negotiations are rather a source of controversies etc., hence same are avoided.

- i) Invoke liquidated damages and penalties only if justified. They should not be used as coercive levers to pressurize suppliers.**

DMRC treat its contractors as equal stakeholders as timely delivery of project is also equally important to the contractors for their reputation as it is for DMRC. Hence LD and penalties are invoked only when these are justified. Even in some cases, if subsequent key dates of critical



activity are accomplished by the Contractor by mobilizing additional resources, then LD is considered for waiver / refund even if LD has been imposed due to non-achieving of earlier non critical key dates.

- j) Promptly report to the Vigilance Office any misconduct or malpractice such as the offering of bribe by a supplier.**

If any such instances come to the notice of any official, the executives themselves take appropriate action immediately after keeping Vigilance Department informed and without waiting for an action from Vigilance Department.

- k) Employ latest web-based tools for procurement such as e-Tendering, e-Auction, etc.**

All procurements are done through e-Tendering giving opportunities to all in most fair, open, equitable and transparent manner.

- l) Implement a regular and independent monitoring system for feedback and improvement.**

During day to day tendering, whenever any repetitive deficiencies are noticed in system, appropriate improvement in tendering system are incorporated on regular basis. The changes in tender conditions are also incorporated so as to encourage adequate competition. If lack of participation by bidders are noticed due to non-availability of adequate bidders of required experience, then re-sizing the packages etc. are done. Also, with completion of each phase of work, various senior level officer committees are formed to suggest improvements required in tender documents, SHE manuals, specifications etc. based on the difficulties, deficiencies etc., faced in execution of works. Suggestions are also sought from the prospective bidders for carrying out improvements in tender documents. The suggestions are analyzed and are incorporated in tender documents and made as part of Contract Agreements.

- m) Cooperate with trade, industrial and professional associations to promote clean and sound procurement practices.**

The officials are encouraged to attend seminars / conferences organized by such organizations in related subjects of procurement, contracts etc., and clean, sound practices adopted by these organizations or other PSUs/ Govt./ other Metros are adopted to further improve the tendering system of DMRC.

- n) Assign high priority to technical suitability, quality, reliability, availability, technology, safety, health, environment, compliance to local and international standards, capital and operating expenditures, proper and comprehensive documentation, ease of maintenance, trouble-shooting, obsolescence, availability of spare parts and service aspects.**

DMRC adopts different methodology in their tenders depending upon type and nature of work. At times, tenderer is asked to quote lump-sum price in which Contractor is required to design and build as per the employer's requirement. Such practice encourages innovative design. At times, tender is based on detailed drawing in which BOQ has items as per standard schedule and quantities based on detailed drawing. At times, tender is called based on BOQ having lump-sum component of design and other component based on standard schedules etc. With tender document, Safety, Health and Environment Manual (SHE Manual) is also part of tender documents which lays down the organization for the same which is to be maintained by the Contractor during the execution of work. Inputs from renowned consultants are also taken on adoption of latest technologies etc.

- o) Frame impartial technical specifications which do not favour specific suppliers.**

The specifications are always drawn based on the functional requirement and also at the same time keeping latest

technology in mind and adequate no. of participants so as to have fair competition amongst bidders.

- p) Prepare clear and unambiguous specifications so that technical evaluations can be done in a fair manner without scope for misunderstandings.**

In DMRC tenders, clear and unambiguous specifications are laid down so as to avoid any different interpretations and misunderstandings. During the pre-bid meeting, if any clarifications are sought by any bidders, same are replied in the form of addendum to the tender documents for benefit of all.

- q) Specify technical features which are feasible.**

The technical features are specified and also employer's requirement is provided with tender documents apart from drawings, specifications etc.

- r) Desist from over-specifying, over-engineering and unnecessary redundancy.**

Care is taken to ensure that specifications are provided to the extent desirable. The over-specification may not only result in higher cost but also, at times, difficult to achieve and thus resulting in delay in delivery of projects.

- s) Ensure that no intellectual property rights are violated.**

The tender conditions are provided such that no IPR is violated by suppliers. The tenderer has to take full responsibility and indemnify DMRC in the event of any such situation.

- t) In case a mistake or a discrepancy is found in the technical specifications, accept it and promptly issue an amendment.**

During tendering, if any such situation arises, addendum is issued promptly in case of tenders for which last date of submission has not passed. However, in cases where tender has been opened, conscious decision is taken whether to discharge or proceed with the tender, based on the urgency

of tenders, gravity of discrepancy, its impact on cost etc.

- u) **Recognize and reject the lures of lucrative jobs, training, awards, domestic/foreign trips.**

Same as answer of e) above. Further, as per the DMRC policy, any DMRC employee after resignation or retirement etc., cannot take up any assignment with any of the Contractors working for DMRC projects for the next two years.

- v) **Be fair, open, impartial and professional while making technical comparisons, giving recommendations, approving drawings and documents, assessing claims, undertaking inspections and during all other stages of the award and execution of contracts.**

As answered at b) & d) above.

- w) **As far as feasible, insist on secure paperless communication and e-documentation.**

In e-tendering, most of the communication is paperless & online. The bidder has to upload documentation online and is available as e-documentation. Even post queries are asked online and tenderer has to submit the same online and physical submission of same are not permitted. However, as NIC Portal does not permit asking parallel set of queries on line, in such a case only, physical submissions are permitted.

- x) **Store all relevant information, reports, evaluations and other documents in secured e-repositories.**

Such information, reports, evaluations are kept in soft copies in secured hard discs.

- y) **Work together with colleagues to form target-oriented teams and share technical knowledge, expertise and experience for mutual benefit.**

There is regular interaction among field and officials who are working in procurement cell not only in processing of tenders but also in finalization of tenders. Regular seminars are held on various topics for dissemination of Technical knowledge, information and development of new

Technology. There is system of power point presentation by officials who visit foreign countries in connection with conferences, seminars, exhibition or field visit to share the experience, new developments in Technology and its suitability / feasibility for adoption in new projects.

2. **Procurement based upon ethics establishes faith and trust between the buyer and supplier. This reflects in long-term sustainable partnerships which benefit not only the organizations and their employees but the entire society as well. How does DMRC ensure that its suppliers act in accordance with the following principles?**

- a) **Comply with all applicable laws.**

The contract agreements spell out the applicable laws and it is also mentioned that suppliers have to comply with the Statutory laws which may also come into effect at a later date. Though in most of the tenders pertaining to Works, the bidder has to quote all inclusive rates but in supply tenders, if there are any changes in taxes etc., same is reimbursed based on documentary evidence. In case of default by the contractor, there is provision of heavy penalty in Contracts to act as deterrent. The Contractor is required to follow the Minimum Wages Act, Building and Other Construction Workers Act etc. and a regular audit is carried out to ensure their implementation.

- b) **Follow clean, fair and transparent business practices devoid of any corruption, formation of cartels or infringement of Intellectual Property Rights.**

In tender documents, it is clearly spelt out that any kind of malpractices, canvassing in tender process will make them ineligible. As DMRC has taken up such cases in the past, the suppliers are well aware of stringent action being taken by DMRC. The name of such suppliers/contractors, with whom business has been banned, are put in public domain on DMRC site. Due to above action, over a period of time, there has been trust among suppliers that DMRC believes in

clean, fair and transparent business practices.

**c) Offer products based upon latest proven technology.**

DMRC in its tender documents provides the specification and always buys the products of only proven technology. Hence question of offering product of unproven Technology does not arise.

**d) Prohibit child labour as per applicable local laws.**

All suppliers /contractors have to comply with applicable laws, bye-laws all the time. Any violation of same is treated harshly resulting in imposition of severe penalty. Regular audit is carried out by HR team to ensure that no violation of applicable laws takes place.

**e) Take adequate steps for the safety and health of their employees.**

As stated in answer to Q.1 (n), DMRC has its own SHE manual, which is required to be followed by all its Suppliers, Contractors etc. Any violation of any provision of manual is treated harshly resulting in imposition of severe penalty and even stoppage of work.

**f) Act with responsibility regarding environmental protection by conforming to local and international norms.**

As stated in Q.2 (e) above, the Suppliers and Contractors are required to follow SHE Manual. Any non-compliance of same results in punitive measures against the Contractor.

**g) Promote a culture of compliance and integrity among their sub-suppliers.**

All the provisions of SHE manual are equally applicable to all the sub-contractors who are working at site. If there is any violation by any sub-contractor, the contractor has to bear its consequences. DMRC may at its discretion even ask a sub-contractor to be removed from site. As far as sub-suppliers are concerned, they are also equally responsible for their actions at DMRC site.

**3. Which best Practices are followed by DMRC for Procurement and Vendor Management? How are they different from others?**

All the tenders are called with two package system i.e. Technical package and Financial package. Few of the practices being adopted are stated in answer to Q.1 (d) & (n). Apart from that, the eligibility criteria is based upon past experience of completed as well as ongoing similar work. In addition to turnover requirement, bidder's financial capability are also assessed based on his bid capacity, liquidity and profitability also. His performance for on-going works and completed works of value greater than certain value are also taken into account for his eligibility. Generally, DMRC for its procurement, follows the guidelines of JICA, World Bank and various funding agencies. Further, in all the tenders, provision of seeking clarifications and pre-bid meeting are kept and reply to all the queries is always provided by issue of addendum for the benefit of all prospective bidders.

**4. What approach is followed to ensure transparency and fairness in pre and post bidding phases?**

This has been answered in Q.1 (b), (c) & (d) above.

**5. What is the procedure followed for extremely urgent procurement?**

The Procurement Manual provides for different modes of tenders such as (i) Open tenders (LCB or ICB ) (ii) Tenders from Pre-Qualified Firms, through open application system (iii) Limited ( Short listed ) tenders & Single Tenders. Modes of tender are chosen depending upon nature, exigency & urgency of work / procurement. The procurement through open tender is mostly resorted to, which is the most effective method of securing most competitive rates in transparent manner. The Procurement Manual also provides to reduce tender notice period, duly recording reasons with the approval of competent authority. The procurement on single tender /limited tender is rarely resorted to depending upon circumstances.

**6. Is any audit carried out to check corrupt practices in procurement? If yes, frequency of this audit?**

Yes, there are regular audits of procurement & works contracts by Internal audit, Statutory audit and CAG audits. In addition to above, CTE audit is also done by CVC for a few selected contracts. The points raised by these audits are replied / complied and wherever required, necessary improvements are effected in the procurement / tendering process. Apart from Audits, regular preventive checks are carried out by Vigilance to check whether there has been any malpractice in award or execution of work.

**7. Procedure for opening of bids. How is transparency maintained?**

All the Procurement / works tenders are done by e-tendering on NIC Portal and the bidders upload their tender documents on NIC portal. As soon as technical bids are opened by the nominated official, every bidder is in a position to see the entire document uploaded by other bidders and they can also see the rates quoted by other bidders after opening of financial bids. As e-tendering system itself being very open and transparent, no extra efforts are required for maintaining transparency.

**8. What guidelines are followed for price negotiations? Is L-1 vendor invariably called for negotiations?**

As answered to reply of 1 (h), negotiations are not conducted except in extreme cases. If at all same becomes necessary, it is always done with only L-1 bidder and in the failure of same, tender is discharged without any exception.

**9. How do you achieve the following?**

- **Healthy relationship with Vendors.**
- **Vendor problem resolution.**
- **Steps taken for continuous improvement of relationship with Vendors.**

During award and also subsequent contract management,



complete transparency is maintained which has resulted in trust & confidence in the Supplier. Any genuine problem of supplier is looked into and, to the extent possible as per provisions of contract, necessary resolution is done. Any problems/ suggestions raised by Vendors are looked into and if same are considered appropriate, necessary changes are carried out in tender documents. This helps in improvement of relationship with Vendors.

**10. How do you handle contract management? Is it linked with procurement or handled separately?**

After entering into Contract Agreement, subsequent Contract Management is done by the Engineer –in- Charge who executes the work. In case of any interpretation of any contract condition, normally it is done centrally by the Headquarter Contract Cell so as have uniformity across DMRC Contracts.

**11. To avoid protracted litigation, have you established an alternate resolution system to the judicial route?**

Each and every tender of procurement / Works provides for Arbitration and Conciliation clause which is part of GCC or SCC. This clause lays down in detail the entire process of dispute resolution.

**12. Do you have any separate Code of Conduct for Procurement Officials?**

There is no separate Code of Conduct for Procurement Officials. However, the procurement officials are advised to have minimum interaction with the Suppliers / bidders.

**13. How do you prevent influence from internal and external sources?**

No special efforts are required due to development of a transparent culture over a period of time in DMRC. Further, our tender documents clearly provide that *“any effort by a tenderer to influence the Employer/Engineer in the process of examination, clarification, evaluation and comparison of tenders and in decisions concerning award of contract, may result in the rejection*

*of tenderer's offer*". It is also provided in all tender documents that *"Canvassing or offer of an advantage or any other inducement by any person with a view to influencing acceptance of a tender will be an offence under laws of India. Such action will result in the rejection of tender, in addition to other punitive measures."* As most of the Vendors / Suppliers are well aware that any influence in tender process will be detrimental to their own organization, there is hardly any case of influence.

**14. Do you have a separate inspecting team for the material supplied by the vendor?**

The materials supplied by the vendor are inspected by outside independent agencies.

**15. How are postings and promotions in the Procurement department decided?**

There is no separate cadre of Procurement Department. The officials are posted based on their knowledge, integrity & reputation etc. Periodic transfers are also carried out.

**16. Does DMRC have a specific training module for Procurement and Vendor Management?**

There is an in-house training centre of DMRC at Shastri Park. Initial training is imparted and refresher courses are also conducted periodically. Trainings are imparted on promotions. Depending upon the discipline of officials, the training modules have topics on procurement, contract management etc.

**17. Do the DMRC procurement policies and procedures take into cognizance the benchmarks set by established multilateral agencies such as World Bank, Asian Development Bank etc.?**

DMRC at times procure as per the tender documents prepared as per the guidelines of multilateral funding agencies. However principles of openness, transparency, justness are never compromised.

## **Additional Questions on “Procurement and Handling of Vendors”**

1. **Are the orders for mandatory + recommended spares, consumables and maintenance contracts negotiated and clubbed with the main contract as far as possible? If not, are price variation and ceilings fixed beforehand? Vendors have a tendency to quote low prices at the tender stage and make up later with huge margins from spares, consumables and service contracts.**

L-1 is arrived based on the total cost including mandatory and recommended spares. The maintenance is done by the DMRC personnel. The spares are taken after completion of defect liability period. With the experience gained in maintenance over the period of time, the spares and consumables are modified / revised. However, after completion of contract, if any spares are required then an attempt is made to procure them based on some reference available. Fortunately, as DMRC has been expanding & procuring Rolling Stock etc. by ICB, the Suppliers normally tend to quote reasonable rates.

2. **Are the required quantities of spares and consumables counterchecked independently before placement of order? Does DMRC insist upon a list of proprietary spares?**

There is no system of checking of quantities of spares and consumables independently. However spares and consumables of high value are monitored.

3. **Is local ordering and procurement directly from the sites permitted? If yes, under which circumstances and up to what limit?**

No local ordering & procurement of any safety related item is permitted.

4. **Does DMRC permit multiple split payments to different bank accounts of the same vendor?**

The payments are made to the single bank account of Vendor. Only in case, where payment is involved in Indian currencies and Foreign currencies, two different accounts, one for INR and other for foreign currency are permitted.

**5. Do the contracts of DMRC restrict the extent of outsourcing which a vendor may undertake?**

In DMRC contracts, limit of 50% is provided for sub-contracting.

**6. Do the contracts of DMRC with a domestic vendor include a clause which allows DMRC to monitor the amount of foreign exchange remittances made by the vendor?**

No such clauses are provided in DMRC contracts.

**7. For amendments of contracts, is the same signing authority applicable as in the main contract?**

Any amendments of contracts are done by same Signing Authority, who has signed the main contract.

**8. Is the time taken to release eligible payments to vendors monitored for abnormal delays?**

As per GCC, within 21 days of receipt of statement and supporting documents from Vendor/Contractor, interim payment certificate showing the amount which the engineer considers to be due, is issued by Engineer. 80% of the certified interim amount is to be made to Contractor/ Vendor within 14 days and balance 20% is to be paid within 28 days of preliminary certification of the bill by Engineer. However in practice, Interim payment certificate is issued within 07 days. 80% of certified interim amount is made within 07 days and balance 20% is paid within 14 days of interim payment certificate. As such the necessities of monitoring abnormal delays do not arise.

## **(g) Handling of Assets**

**1. Is there a comprehensive policy for Handling of Assets (which include spares and consumables)?**

Yes. DMRC has a comprehensive policy for handling of assets. The definition of assets includes Unit Exchange Spares, Rotables as well consumables.

**2. Is there a policy for purchase and disposal of assets?**

Yes. There is a policy as well as procedure for purchase and disposal of assets in DMRC. The procurement of assets is basically handled by the Stores department after due assessment of requirement and availability of budget by the user as well as associated finance. The depreciation of assets is accounted only for those assets which are capitalized. DMRC has an environment policy and technical obsolescence issues are dealt in a planned way by the respective department.

**3. Procedure for proper storage, installation and operation of the Assets?**

Yes. There is a procedure as well as methodology available for proper storage, installation, accountal and operation of assets. This is being achieved with the help of SAP software as well as physical storage at designated stores locations. During storage and installation, safety and health issues are addressed as per findings of hazard analysis.

**4. Procedure for upkeep and maintenance of Assets?**

Following actions are normally taken for upkeep and maintenance of assets;

- a) Time to time updation of software as well as hardware based on need, ageing and utility.
- b) In-house maintenance vis-à-vis maintenance through external agencies, as per decided policy.
- c) Training for regular troubleshooting and in-house overhaul/repairs of assets.

**5. Optimizing the number of Assets?**

Based on availability forecast/requirement of the asset/redundancy need, availability is evaluated and planned based on cost benefit analysis.

**6. Policy on restricted use of Assets?**

Illegal/undesired use of assets is normally defined in the respective usage policy of the respective asset which is binding across all levels of hierarchy.

**7. Policy on misuse, abuse, disruptive use and willful destruction of Assets?**

Guidelines for proper/correct use , do's & don'ts', proper procedure to avoid disruptive use and damage to asset due to wrong operation are normally laid down in the O&M Manuals and related operating procedures of the respective assets. Any violation is investigated/interrogated and corrective actions are decided/taken to avoid any repetition.

**8. Maintaining Confidentiality of Assets and Information Security?**

There are procedures in place for maintaining confidentiality of assets as well as information security i.e. recording of CCTV footage, communication on Tetra/intercom as well as mobiles, sharing of documents etc. Proper follow-up of laid down procedures is verified from time to time for effectiveness and changes are made as per requirement.

**9. Adequate and timely availability of qualified and trained manpower?**

There is proper system in place for assessment of requirement of trained manpower. The requirement of

training for each category of trained manpower is also well defined. Accordingly, the lead time is built up in the recruitment planning to make sure availability of trained manpower for taking care of the respective asset. Each wing of DMRC assesses the need of skill upgradation in each category and organizes the training courses accordingly.

**10. CSR through Assets?**

DMRC in Shastri Park is committed for CSR activities. Recently, it has constructed “Prakriti Park” using released waste of different assets to green the environment and make available a useful surrounding space for all age groups.

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## **(h) Sponsorship, Donations, Membership**

### **Definitions:**

Sponsorship is a contribution made by the Organization (the Sponsor) for an event which is hosted by a third party. Examples of such events are sporting events, entertainment shows, seminars and workshops. In return for the contribution, the Organization receives several benefits. These could include the advertisement of the brand/logo, mention in the opening/closing addresses, participation in panel discussions and some tickets to the event.

Donations are voluntary contributions for social, humanitarian, educational, cultural or scientific causes without requiring anything in return.

Sponsorship and Donations should be clearly distinguished from Memberships. In case of a membership, a contribution or fee is paid to an Industry Association (such as CII, FICCI, ASSCHOM) or a technical Society (such as ISO, IEEE, IEMA) or a social/cultural Center (such as IHC, IIC, a reputed Club). These memberships are primarily meant to:

- a) Deepen the understanding of business and economic scenario.
- b) Discuss common issues and try to find solutions.
- c) Share best practices.
- d) Increase awareness and knowledge of latest technologies.
- e) Enhance people to people contact.



**Questions and Replies:**

- 1. Are all sponsoring contributions transparent, justified and based upon a written agreement?**

Sponsoring contributions are transparent and the same are made in events that are relevant to the organization, by and large.

- 2. Is the amount of contribution commensurate with the consideration offered by the event host?**

Yes.

- 3. Are there any cash transactions in the sponsorship deal?**

No cash transactions are made.

- 4. Are donations made exclusively to not-for-profit organizations which are registered with the Government?**

DMRC does not make any donations.

- 5. Are any Donations made in cash?**

Not applicable in view of reply to Item No.4.

- 6. Are memberships restricted to only recognized, reputed and registered Organizations?**

Club memberships are given at the level of Directors / Executive Directors. No cash payments are made and all transactions are properly documented.

- 7. Does DMRC have a documented policy on Sponsorship, Donations, Memberships?**

There is no documented policy on sponsorship/membership as they are need based.

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## **(i) Interface with Third Parties**

- 1. In case joint work is undertaken along with a Third Party, such as MCD, how does DMRC ensure commitment to its own Code of Ethics?**

DMRC does not undertake joint works along with third parties.

- 2. In case non-compliance is found in activities of a Third Party, how does DMRC react to this situation?**

Same as above.

- 3. If a Third Party cascades its activities further to other parties, how is compliance to DMRC's code of Ethics ensured?**

Same as above.

- 4. What is the review process for activities with Third Parties? Frequency and at what hierarchical level?**

Same as above.

- 5. What is the mechanism for improving the working of Third Parties based upon Public Feedback Surveys undertaken by DMRC? It is often not easy to shift the blame to third parties.**

Same as above.

- 6. Which Third Parties play a major role in the functioning and target achievement of DMRC? What are their problems and how are they dealt with? Is there any compromise on ethical values? Any examples to share?**

MCDs, PWD, DDA, DJB, IGL, police etc. play a major role

in functioning and target achievement of DMRC as there are issues like land acquisition, road handing over, utility diversion, traffic diversion etc. These are dealt through regular coordination at different levels. DMRC understands the constraints and requirements of the other departments and tries to find a solution by going slightly out of way in doing works to accommodate their demands. So, generally no problems are faced. There is no compromise on ethical values.

**7. How smooth is the interface with Government bodies for obtaining required approvals, release of funds and other regulatory activities?**

As per GoI decision dated 02.02.2007, DMRC has been exempted from obtaining prior approval from local bodies for construction of operational structures. Release of funds from development authorities like DDA, HUDA, NOIDA, and GDA is more or less smooth. There is a high power committee under the chairmanship of Chief Secy/GNCT and any unresolved issue is taken up in the committee.

**8. What is the policy for outsourcing staff through external agencies? Is it for a limited period or till retirement? What steps are taken to ensure quality and prevent corruption?**

Outsourced employees are engaged for non-sensitive posts for a limited period only. However, employees are hired on contract also for sensitive posts for limited periods and a close vigil is kept on their functioning.

**9. In respect of interface with Third Parties, how have the leadership qualities of first CMD been institutionalized and imbibed by the succeeding management team and even improved upon?**

The Systems & Procedures laid down by the first CMD have gone deep into the roots of the organization and subsequent Management. Generally, all works are being completed on or before time.

- 10. What are the institutionalized ethical mechanisms due to which there has been a conspicuous absence of conflicts/scams in dealings with Third Parties?**

There are prescribed values and ethics of DMRC which all employees comply with. According to ethical conduct rule, every employee shall deal on behalf of the company with professionalism, honesty and integrity while conforming to high moral and ethical standards. Such conduct shall be fair and transparent and be perceived to be so by third parties. Timely disposal of files, particularly timely finalization of Tenders, has built up the image of DMRC.

- 11. Please highlight any notifications and circulars you may be issuing from time to time relating to ethical guidelines for effective dealings with Third Parties?**

Same as above.

- 12. How do you ensure that cooperation is obtained from a Third Party such that work is completed on time with minimum dislocation and inconvenience to citizens?**

This is ensured through regular coordination at different levels.

- 13. Do you look for any specific qualities in your employees while assigning them tasks where interface with Third Parties is essential?**

They must be acquainted with the rules, regulations and policies of the agencies.

- 14. Please suggest the 'Best Practice' that we can share with other organizations to improve their Interface with Third Parties?**

DMRC deputs its own executive to pursue the case with other agency and the executive tries to be acquainted with the rules, regulations & policies of the agencies to plug the loopholes.

## **(j) Complaints and Whistle Blowing**

**1. What is the system of lodging a complaint within the organization?**

In DMRC, all employees have freedom to lodge complaints directly to Vigilance Unit via Indian Post or e-mails or can submit in person. The complaints may be of following kinds:

- a) Complaints received from the employees of the organization.
- b) Complaints made under Public Interest Disclosure.
- c) Complaints lodged based on the source information received from a verifiable source.

Verification of the complaint is done by writing to the complainant. After verification of complaint, each complaint is registered and investigation is conducted as per the laid down procedures.

**2. What are the channels for whistle-blowing within the organization?**

While normally an employee is required to address communications through proper official channels, but in case of Whistle-Blowing to Vigilance, there is no objection to entertaining a direct complaint or communication from an employee giving information about corrupt or other kinds of malpractices. There is a provision that genuine complainants are afforded protection against harassment. All training/induction courses include one Vigilance topic also where every employee is informed about the channels of Whistle-Blowing and told to be fearless in working.

**3. In case an employee perceives the internal channels for lodging a complaint or whistle-blowing to be inactive, can she/he approach an external ombudsman directly?**

**Who is the current ombudsman of DMRC?**

Yes, an employee can approach an external ombudsman directly if she/he perceives that the internal channels are inactive. Vigilance Wing of DMRC is working under guidance of the Central Vigilance Commission and all employees are free to approach CVC.

**4. How is the confidentiality and anonymity of complaints and whistle-blowing actions ensured?**

The identity of the complainant is kept secret and not revealed in case she/he requests to do so. There is a provision of PIDPI (Public Interest Disclosure and Protection of Informer); the identity of complainant is kept completely secret. Under this provision, complaint is made through CVC and Government of India has authorized CVC as the 'Designated Agency' to receive such complaints.

**5. How are frivolous, misleading or manipulated complaints or whistle-blowing actions handled by the organization?**

All complaints are first verified through written communication. In case the complaint is not verified, no further action is being taken. After verification it is seen whether there is any verifiable material given in complaint or not. In case there is any verifiable allegation, then the same shall be verified through official records and documents.

**6. What is the policy of rewards and punishment on the issue of complaints and whistle-blowing?**

Genuine complainants under PIDPI are afforded protection against harassment or victimization. However, if a complaint against a public servant is found to be malicious, vexatious or unfounded, action can be taken against the complainant.

If during an investigation, the CVO finds that an employee has made a full and true disclosure implicating himself and other members of the public and that such statement is free from malice, the CVO may consider grant of immunity/leniency to such person from departmental action or punishment.

## **(k) Public Interface and Grievance Redressal**

### **1. Background:**

#### **1.1 In this part the following categories of stakeholders are excluded as they are covered elsewhere:**

- a. Employees of DMRC.
- b. Contractors and Suppliers.
- c. Third Parties including Governmental, semi-Government and public-autonomous organizations such as the MCD, DDA etc.

#### **1.2 The implication is that all other stakeholders (defined herewith as Public) are included. These include the following:**

- a. Commuters of Metro.
- b. Those who do not commute by Metro.
- c. Individuals/establishments who use the premises of DMRC for commercial activities.
- d. Those affected by activities of DMRC during project execution and operation.

### **Questions and Replies:**

#### **1. Present Interaction.**

##### **a). What is the mechanism for interacting with the public?**

Inside the Metro network, the public is intimated through announcements:-

- i) At stations, Customer Care Centre are provided to address the queries of passengers.
- ii) A 24x7 helpline (155370) is also available for the passengers.

- iii) The public is intimated about the various activities, service related information through the official website ([www.delhimetrorail.com](http://www.delhimetrorail.com)), press releases, public notices, announcements via television, radio etc.
- iv) Newspaper releases.
- v) Company website.
- vi) Survey by an international body i.e. RTSC.
- vii) Internal Survey.
- viii) Contemplating.

**b). What is the method of disseminating information of interest to the public?**

Regular interactions with the media are maintained and journalists are briefed in detail about the activities of DMRC. Press releases on a range of recent developments are regularly issued. The website also carries all relevant information and is regularly updated.

**c). How are the subjects selected on which information is to be disseminated?**

As a priority, all information related to Metro operations such as service related announcements, technical snags, scheduled maintenance etc. is communicated. In addition, all initiatives of Delhi Metro which directly concern the passengers, are also intimated.

**d). Is there a Nodal Officer (or a PR Officer) who interacts with the public?**

Yes, Executive Director, Corporate Communications is the nodal officer.

**e). Does the Nodal Officer take proactive initiative to interact with the public? Or is the interaction purely reactive based upon the occurrence of an event?**

Yes, a majority of communications is proactive. The media is briefed regularly on DMRC's activities, taken to stations,



construction sites etc. For general public outreach, separate campaigns to raise awareness about Metro travelling etiquettes and discipline such as puppet shows for school children are also organised. In addition to above, the company website is also updated regularly.

**f). Does DMRC have a documented policy for Public Interface?**

No, but covered by internal instructions and circulars.

**2. Dealing with Public Grievances (including suggestions).**

**a) Is there a formal mechanism within DMRC for lodging a Grievance?**

- i) Yes, a Public Interface Cell.**
- ii) A designated officer for dealing with Grievances.**
- iii) Which modes are available for lodging a Grievance?**
  - **Personally.**
  - **Post.**
  - **Drop box.**
  - **E-mail with designated e-mail address.**
  - **Directly on the website.**
  - **Any other mode.**

Yes, there is a formal mechanism within DMRC for lodging a grievance.

- i) We have Public Complaint Cell in DMRC.**
- ii) There is a dedicated Public Complaint Officer in DMRC who deals with complaints/suggestions.**
- iii) The available modes are listed as under:**
  - **Personal interaction.**
  - **Complaint/suggestion book available at all stations.**
  - **Email at [helpline@dmrc.org](mailto:helpline@dmrc.org).**

- 24x7 IVRS based helpline (155370).
- CISF Helpline i.e. 22185555.
- Delhi Police Helpline i.e. 1800112549.
- Feedback form that can be filled from website.
- Letters by post.
- Grievance portals like Public Grievances Commission (PGC) and Public Grievances Management System (PGMS).

**b) Is there a pre-defined form for this purpose?**

Yes, the complaint/suggestion book kept at every station is in the predefined format.

**c) Is this mechanism clearly publicised on the website of DMRC?**

Yes, this mechanism is clearly publicized on the website, in the Quick links section of the website. Apart from that, our Helpline Number 155370 is prominently displayed at appropriate locations on the website. Also, relevant information is available in the FAQ section of our website.

**d) If drop-box is one of the modes, are they provided -**

- **In the coaches,**
- **At platforms and**
- **At DMRC offices?**

No, drop boxes are not provided anywhere in system to receive complaint/ feedback from commuters. Instead, Complaint book is available at all stations, or they can directly write/send an email.

**3. Interface with Commercial Establishments at Metro Stations.**

**Metro stations have become major commercial establishments. These establishments are customers of DMRC. How does DMRC interface with them to**

**ensure ethics, cleanliness and good behaviour with the commuters? Such commercial establishments include:**

- a) Shops/restaurants,**
- b) Car park service providers**
- c) Any other commercial establishment.**

Generally, DMRC promotes brands. Tender issued to invite business partners for commercial activities at Metro station enumerates ethics, cleanliness standards and good behaviour with commuters with minimum standards to be maintained. Violation of above invites penal action against business partners.

Staff at the stations is responsible for cleanliness and upkeep of stations. They interact with commercial establishments at stations to fulfill contractual requirements including cleanliness. If business partners do not correct or improve their practice, then action is taken by concerned department as per contractual provisions.

#### **4. Collation:**

**If there are several modes of lodging a grievance, is there a mechanism for collating the different data bases?**

Yes, records of all grievances lodged through different methods are available with Public Complaint Cell and are well collated.

#### **a) Is the present mechanism satisfactory and functioning smoothly?**

Yes, the present mechanism is satisfactory and functioning smoothly.

#### **b) What kinds of grievances were received in 2016?**

Feedback from public is received on many issues from time to time. Major ones include online recharge, related with AFC gates problem, security related issues, train frequency, increasing no. of coaches, increased fare, additional provision of lifts, escalators etc. It is worthwhile to mention that DMRC takes every possible step to resolve these issues.

**c) How many grievances were received in the last 3 years?**

**Complaints received in last three years are as under-**

Year	Appreciations	Suggestions	Complaints	Total
2014	614	2279	19635	22528
2015	700	2202	19639	22541
2016	669	1341	28387*	30397

\*The reasons of increase in complaints is on account of online recharge issues, technical failures affecting train services & failures of AFC equipment etc. at stations.

**d) Were all the relevant grievances addressed and replies sent to the individual concerned?**

Yes, every grievance is suitably replied.

**e) What is the average and maximum time for processing a grievance?**

DMRC strives to resolve the grievance as soon as possible. However, at station level complaints of local issues are resolved and replied to the passengers within 3-5 days and complaints pertaining to other departments are forwarded to the concerned department through complaint cell and asked to reply or resolve within a fortnight, but depending upon from how many sources the suitable information is to be collected. The status is being maintained and monitored.

**5. Right to Information:**

**a). What are the main subjects about which information under RTI is sought?**

Queries are asked on a range of issues pertaining to the overall functioning of the Delhi Metro. There is no specific area.

**b). Are there instances when the information has not been furnished or the Seeker of information is not satisfied with the response? Have appeals been filed with the Information Commissioner?**

Being a Govt. organisation, RTI act is being followed. RTI enquiries are dealt with in accordance. Yes, some of the information cannot be divulged as per the provisions

of RTI Act itself. DMRC has issued guidelines to deal with information. There are some cases, which are addressed to the Appellate authority. In some cases, appeals have also been made to the Information Commissioner. In most of the cases, Chief Information Commissioner (CIC) agreed with response of the Appellate Authority.

**c). How many RTI applications were received in the last 3 years and how many were answered?**

In all 3,527 applications have been received from 1st January, 2014 till 31st January, 2017. All applications have been addressed.

**6. Benchmarking:**

**Metros are one of the most important means of public transport today. If DMRC wants to be a leading global brand, how does it benchmark itself with the best Metros in, say, Japan, Switzerland or Germany? Examples of benchmarks could be one or several combinations of the following:**

- a) **Geographical area covered.**
- b) **Population covered.**
- c) **Average number of daily commuters.**
- d) **Public feedback on parameters such as punctuality, safety, comfort and cleanliness.**

Delhi Metro Rail Corporation Ltd. (DMRC) has been associated with CoMET and Nova Benchmarking groups of world metros which are managed by RTSC (Railway & Transport Strategy Centre,) Imperial College London, since 2006. DMRC was part of the Nova group of metros till 2014 and due to rapid expansion of its network, it has been elevated to CoMET group of metros from January 2015 onwards. CoMET is a group of mature and larger metros of the world.

Total 34 Metros across 32 cities of world are members of CoMET and NOVA group who voluntarily share their vital

statistics to benchmark their performance across metros. The key objective is to identify and share good practices within a confidential framework.

The group metros measure and compare their performance, on an annual basis, using a system of Key Performance Indicators (KPIs). Following are the focus areas in KPIs:

- Growth Learning & Innovation.
- Capacity Provision & Utilization.
- Service Quality & Accessibility.
- Safety & Security.
- Reliability and availability.
- Efficiency and productivity.
- Financial.
- Environment.

All metros meet twice a year and exchange views on different subjects. The best practices across the globe are assimilated and implemented. We have a confidentiality agreement with RTSC for not divulging the comparative indices.

**7. Evaluation:**

- a) **Is a Public Perception Index (PPI) of DMRC evaluated and if so how?**
  - i) **Internally.**
  - ii) **By external hired agency.**
  - iii) **Public feed-back surveys.**
- b) **What is the frequency of such an evaluation?**
- c) **Are the results of evaluation shared with the employees and the public?**

DMRC conducts annual in-house customer satisfaction survey as well as through CoMET. Both the Customer Satisfaction Surveys follow the European Standard EN 13816 which includes questions related to Availability & Accessibility, Facility offered to Customer, Information and Ease of Use, Quality of Service, Customer Services,

Outside metro Area and Security, Safety & Comfort. In-house Customer Satisfaction survey results are shared with public and staff. Customer Satisfaction Survey conducted by CoMET cannot be shared with public due to confidentiality agreement. However key points are informed to public. Weighted average of Customer Satisfaction Survey - 2016 is as follows:

### **Weighted average of Customer Satisfaction Survey 2016**

<b>Sl. No.</b>	<b>Weighted of Overall satisfaction questionnaire</b>	<b>Weighted range of various questionnaires</b>
1	Availability & Accessibility	7.43
2	Facilities Offered to Customers	7.46
3	Information	7.64
4	Quality of Service	7.37
5	Customer Services	7.64
6	Outside Metro Area	7.19
7	Safety & Security and comfort	7.44
	Average	7.45

\* Satisfaction Criteria – (10 points – Extremely Satisfied, 9-8 points – Very Satisfied, 7-6 points – Satisfied, 5-4 points – Dissatisfied, 3-2 points – Very Dissatisfied, 1 point – Extremely Dissatisfied)

### **8. Utility of Interaction with the Public.**

**Do you think that public interface is essential for improving the efficiency, effectiveness and image of DMRC? Are the time and resources spent for this effort worthwhile?**

Yes, public interface is eyes & ears of DMRC. It is essential for improving the services, efficiency, effectiveness and image of DMRC. DMRC listens and deliberates upon each and every suggestion of commuters. DMRC implements worthy ideas of commuters. Though very few suggestions are of constructive nature but even if one suggestion is good it is worth implementing and well worth the efforts. Responsiveness towards commuters develops the sense of ownership among them and they start adhering to rules and instructions which help DMRC to ensure better upkeep and working of systems.

## **(I) Safety, Health and Environment**

DMRC assigns the highest priority to the safety and health of the employees and the public. It is also committed to protect the environment and thereby create cleaner, greener and healthier living conditions.

**1) Does DMRC ensure adherence to the following requirements? If yes, how?**

**a) Compliance with applicable laws, regulations and standards.**

Yes, there is a DMRC Condition of Contract on Safety, Health and Environment which has to be complied at all sites. In addition to this, there is regular monitoring of sites by contractor safety representative as well as by DMRC Corporate Headquarter officials.

**b) Mandatory use of appropriate safety gear.**

Yes, it is mandatory for all personnel to use safety gears and these are issued immediately on appointment/mobilization.

**c) Proper escape routes and evacuation facilities at all its locations (offices, warehouses, workshops, service centers, sites, etc.). These should be clearly identified and marked.**

Yes, all sites have duly identified and marked exits. Escape routes and evacuation facilities are also ensured.

**d) Provision of functional fire-fighting and life-saving equipment as well as basic medical facilities at all locations.**

Yes, provision of functional fire-fighting and life-saving



equipment is ensured at all worksites. Occupational Health Centre are setup along with provision of Ambulance/emergency vehicle at all sites and first aid boxes are also maintained at each work location. The availability of stretchers is also ensured at sites.

**e) Conducting of regular employee awareness programme and drills for handling emergencies.**

To ensure employee awareness, training programmes are being conducted on regular basis by contractors. Mock Drills are also conducted on Monthly basis by contractors for handling emergencies which are witnessed by DMRC & report submitted to DMRC.

**f) Training of adequate number of employees to manage emergencies efficiently.**

To handle emergencies effectively, each work site has nominated ERT (Emergencies Response Team) which is trained to manage emergencies in an effective manner.

**g) Regular checks on the quality of water and food served at the location.**

Regular checks on the quality of water are being conducted as per drinking water standards and reports are sent to DMRC Environment Division as compliance. The quality of Food being served at worksite canteens is also being checked by Labour Welfare Officers of Contractors at regular intervals. DMRC site teams also check the quality of food regularly.

**h) Responsible and safe use of equipment and facilities by all employees.**

Employees are briefed about their responsibilities and safe use of equipment in their induction programme as well as at regular intervals on site.

**i) Proper maintenance and calibration to ensure efficiency, cleanliness and greenery.**

All contractors have Plant & Equipment Department headed by Mechanical/Electrical Engineers supported by their team

which ensure proper maintenance and calibration of the machines, plant and other equipment to ensure efficiency. For cleanliness and greenery, special emphasis is given through regular housekeeping by site responsible persons.

**j) De-cluttering of workplaces through frequent disposal of unnecessary paper, outdated documents, obsolete assets, etc.**

A Barter Model has been adopted in which vendor (Paper recycler) takes away waste paper from all DMRC facilities and, in return, provides stationary items viz. Spiral Notepad of A4 & A5 size, A4 size paper rims, etc. of recycled paper quality. So far, 39.47 ton of waste paper has been recycled. Old records are being scanned and converted to CDs.

For obsolete assets, valuable/economic worth components are extracted and residual stuff is disposed of as scrap.

**k) Personal commitment of the top Management by undertaking regular "inspection" walks through the locations.**

Weekly safety walks are conducted at each work site, wherein Senior Management from DMRC and contractor side attend. In addition to this, regular site visits are also being conducted by contractor representatives.

**l) Carrying out of periodic and event-driven SHE audits.**

External SHE audit on quarterly basis are conducted by independent agencies and specific audits like Monthly Electrical Audit and Monthly Audit Rating Score (MARS) audit are also conducted on monthly basis.

**2) Can DMRC elaborate the policies and measures taken for the following?**

**a) Reduce pollution of air, soil and water.**

DMRC's Environmental and Water management Policies address the issues related to air, soil and water.

Some of the measures taken by DMRC to reduce pollution of air, soil and water are illustrated below:

**Measures to reduce air pollution:**

- 100% barricading at all construction sites including batching plant and casting yard.
- Regular air quality monitoring at all construction sites
- Water sprinkling at regular intervals.
- Provision of wheel washing facility at exit of construction sites.
- Grass paving and tree plantation in areas which are not expected to handle vehicle traffic.
- Use of dust collector at batching plants.
- Provision of exhaust fan with duct facility in cement godown.
- Provision of separate storage area for coarse and fine aggregates with three side covering.
- Covering of muck with tarpaulin sheets to prevent flying of dust.
- Covering of material during transportation.
- Disposal of C&D waste at C&D waste recycling unit.
- Use of green net to restrict the escape of dust from any particular work/activity.
- Regular cleaning of Toe dust accumulated on barricade boards.
- DG set monitoring at all DMRC construction sites (above 800 kVA).

**Measures to reduce soil pollution:**

- Regular soil monitoring at all under construction underground stations.
- Top soil preservation.
- Hard (impermeable) surface is provided for hazardous waste like engine oils, hydraulic fluids, and

waste fuels storage areas to avoid soil contamination.

- Use of drip tray to prevent oil spillage.
- Colour coded dustbins are provided to eliminate disposal of wastes on ground.

**Measures to reduce water pollution:**

- Regular monitoring of ground as well as drinking water.
- Recharge dewatered areas in underground construction sites.
- Restrict direct discharge of waste water in public drains.
- Uses of RO reject water in wheel washing, toilets and dust suppression.
- Sedimentation tank at casting yard/ batching plant to recycle waste water.
- Installation of STPs, ETPs at various locations.
- Use of treated water in cleaning and horticulture purposes.

**b) Ensure the lowest possible emission of greenhouse gases.**

To ensure lowest possible emission of greenhouse gases, following measures are taken:

- Use regenerative braking instead of conventional rheostatic braking.
- Use energy efficient equipment.
- Use of Variable Voltage Variable Frequency drives for Elevators, Escalators and Secondary Pumps.
- Adoption of 1% design criterion.
- Coasting mode of train operation in ATO as well as ATP.
- Use of solar power.

**c) Conserve energy and water.**

DMRC's Energy Management Policy addresses the issues related to energy conservation. DMRC is committed to provide clean and comfortable public transport network in the state of Delhi & NCR and to be the lowest energy consumer in the transportation sector on likewise basis. Some of the measures taken for energy conservation during the planning, design and O&M stage are as follows:

- Implementation of ISO 50001: 2011, Energy Management System
- Variable Voltage Variable Frequency drives
- Adopting of 1% design criterion
- Coasting mode of train operation in ATO as well as ATP
- Use of timer to control lighting duration at concourse, platform & roads etc.
- Provision of Metal Halide lamps in place of tube lights in staircase areas.
- Reduction in speed of Escalators at Metro Stations having footfalls less than 6000.
- Use of LED lights.

As already mentioned, DMRC has developed Water Policy as well as its action plan to enhance the scope of water conservation. Concerted efforts are being made to reduce water consumption. In a nutshell, the following actions have been being taken to conserve water:

- Rain water harvesting structures have been provided at stations, depots, colonies, viaduct portion etc. As on date, 464 RWH pits have been provided with total capacity of 8607 cu.m.
- ETPs/STPs have been installed at various locations from which around 728 KL of treated water is being used per day.
- As an initiative, bio-digesters were installed at four metro stations last year from which a total of 50 KL

of treated water is being used per day.

- By adopting dual pipeline network and arresting leakages in distribution network, and using seepage water and RO reject, 120 KLD water is being saved.
- Water meters are being installed to capture actual water consumption.

Apart from the above mentioned points, all the Metro stations, receiving substations and colonies under the Delhi Metro as part of its third phase are designed and are being constructed as ‘green buildings’ with specific provisions for the conservation of energy as well as better water saving arrangements.

**d) Handle raw materials and other resources in a responsible manner by avoiding overuse and misuse.**

A Barter Model has been adopted in which vendor (paper recycler) takes away waste paper from all DMRC facilities and in return, provides stationary items viz. Spiral Notepad of A4 & A5 size, A4 size paper rims, etc. of recycled paper quality. So far, 39.47 ton of waste paper has been recycled.

**e) Minimize use of paper and plastics to the bare essential.**

DMRC is emphasising the use of Intranet for employees for day to day submissions and approvals like leaves, claims, re-imburements through Employee Self Service (ESS) portal. Use of plastics is being discouraged; like paper cups have replaced plastic cups in all dispensing machines and cafeteria.

**f) Manage waste properly, which includes recycling and reuse.**

Waste Management Policy of DMRC itself elaborates its aim to assess and minimise waste generation, to re-utilise/ recycle the waste and to operate in full compliance with applicable environmental laws.

All waste generated in constructing as well as operating Delhi Metro are reused to the maximum extent possible

and then only disposed off. Disposal methods adopted by DMRC are tabulated below:

Sl. No	Waste	Disposal method
1	Construction and Demolition (C&D) Waste	Sent to Recycling Plant
2	Hazardous waste	Sent to authorized recycler
3	Bio-Medical waste	Tie up with hospitals for medical waste disposal
4	Metal scrap, Rubber, Glass etc	Sent to authorised recycler
5	Wooden Waste	DMRC has in-house carpentry workshop, where wooden waste is used to make useful furniture.
6	Paper Waste	A paper recycling agency has been engaged. The agency takes waste paper and provides stationary items.

Also, as an initiative, unusable waste which cannot be disposed off, is being used to make art work and is displayed at Shastri park, eco-park, stations, depots etc.

**g) Create safe, clean, hygienic and healthy working environment.**

DMRC's Code of Ethics states 'DMRC shall strive to provide a safe, healthy, clean and ergonomic working environment for its people'.

DMRC as part of its DLITE campaign has also defined service standard parameters for cleanliness of metro premises. Several initiatives have been taken to further improve the standard of cleanliness and hygiene at its premises. DMRC has adopted Mechanized Housekeeping to give impetus on use of more machines to improve quality of cleanliness. Special Cleanliness Drives are also carried out in coordination with Civic agencies. DMRC has also signed a 'Wash Pledge' with The World Business Council for Sustainable Development (WBCSD), in which DMRC has committed to provide safe and hygienic work place for its staff.

**h) Minimize noise pollution.**

Before the start of construction, DMRC carries out baseline monitoring to establish existing noise levels of the locality. The baseline data is provided to the construction contractors who are directed not to exceed this baseline level. To ensure this, the contractors are obligated, through contract mechanism, to carry out weekly noise monitoring at all active construction sites through external agency.

In addition to above, DMRC adopts certain measures to mitigate noise pollution as under:

- Provision of temporary noise barriers near noise sensitive receptors such as residences, schools and hospitals.
- Restrict the use of noise generating equipment during night time.
- DG sets and stationary equipments are provided with acoustic enclosures.
- Use of well maintained plant & equipment at site, which is serviced regularly.
- Maximize physical separation as far as practicable between noise generators and receptors .
- Plan noisier operations during times of highest ambient noise levels.
- Schedule truck loading, unloading and hauling operations so as to minimize noise impact.
- Schedule work to avoid simultaneous activities that generate high noise levels.
- Ensure quick and professional response in case of medical emergency.

All contractors are obligated to have tie-up with hospitals having facilities to handle any kind of Medical emergency.

**j) Never allow time pressure to take priority over safety.**

All meetings with Sr. Management of contractors start with



agenda of safety. At no time, work pressure takes priority over safety.

**3) How is it ensured that engineers and other technical staff undertake the following?**

**a) Use latest environmental-friendly and efficient technologies and equipment.**

Job responsibility is given to all staff to execute Conditions of Contract on Safety, Health and Environment (SHE). This is evaluated by various modes including meetings, safety walks, audits etc.

There is formal training when employees are inducted and promoted.

ISO is implemented vigorously both during construction and operations & maintenance. During this process, aspects, impacts, risk, legal requirements etc pertaining to their field of work are identified and reported. Thus employees at all levels are sensitised in SHE.

Finally, by implementation of various other standards like ISO 55001, Green Buildings etc. more information and knowledge on environment and energy is disseminated.

**b) Ensure that environmental compatibility, health and safety are an integral part of the planning, design and implementation of all projects.**

Kick off meeting (before mobilization of work activity at site) is conducted with contractor covering aspects of safety compliance at site.

**c) Disclose in writing all known impacts on the environment of assigned duties and responsibilities.**

All employees including contract workers undergo Induction training on joining the organisation. Competence building courses are being regularly conducted to sensitise them regarding all known impacts on the environment of their assigned duties and responsibilities.

- d) Inform in writing in case the engineer's judgment is overruled such that safety and health are jeopardized.**

Site order books are kept at each work location and DMRC site staff record all their observations in case Safety and Health are jeopardized.

- e) Insist that suppliers and service providers also comply with the applicable standards on SHE.**

Inspection & test plans are integral part of this & checklists are also maintained for all safety critical activities. Even work stoppage can also be instructed in case of life threatening situation.

- f) Undertake adequate measures for fire protection and industrial disaster prevention.**

The same is ensured through implementation of Method Statements approved by DMRC.

- g) Transport and store hazardous goods after taking all due precautions.**

DMRC strictly follows Hazardous Waste Rules. All such wastes are segregated and is handed over to competent agencies (empanelled) as well as Centre and State Pollution Control bodies for final disposal.

- h) Undertake all necessary measures for protection against harmful radiation.**

The activities being undertaken by DMRC both in Projects and Operation and Maintenance do not require use of materials emitting harmful radiations.

- i) Treat effluents to make them harmless before releasing them to nature.**

STPs and ETPs are in place at all Depots, Colonies and few of the Stations to treat the effluents to make them harmless before releasing them to nature.

- j) Cooperate with Government agencies to develop and improve policies for furthering the cause of SHE in all aspects of public life.**

DMRC is committed to furthering the cause of SHE in all aspects of public life and participates in initiatives undertaken by Government agencies like Training Seminars by sending delegates as well as delivering lectures if requested by organisers.

**k) Undergo and encourage training and certification in SHE standards such as ISO 14001 and OHS AS 18001.**

All contractors are required to obtain ISO 14001 and OHSAS 18001 certificates within reasonable time after award of contracts.

**4) Kindly inform us the following:**

**a) Your accident rate during the last 5 years.**

Year	2012	2013	2014	2015	2016
LTIFR	0.058	0.095	0.065	0.049	0.026

**b) Number of reported accidental deaths during construction/operation during the last 5 years.**

Number of reported accidental deaths during construction is 43

**c) DMRC compensation policy for accidents and death.**

All contractor's workers working at project sites are covered under Employee's Compensation Act. In addition, DMRC labour Welfare fund also provides additional compensation to accident victims & family members of deceased workers.

**d) Periodicity of health checks of workers at sites.**

Pre-employment Medical Examination is conducted for all contractor's workers. Later, regular health checkups of workers are arranged at sites.

**e) What is the punishment for flouting the SHE policy?**

For flouting of SHE Policy and other regulations under DMRC Condition of Contracts on Safety, Health and Environment, penalties are specified in the contract clause.

**f) Compensation policy for persons working in hazardous areas.**

No such policy has been framed for persons working in hazardous areas.

**g) Your vision statement envisages use of solar energy. What progress has been made and what are the timelines?**

Delhi Metro Rail Corporation has set the path for implementation of Solar Photovoltaic Project on roof top of Metro Stations, Staff Quarters, Parking Areas, Receiving Sub Stations and Train Depots. DMRC is installing more such plants at other locations where the work is either near completion or under progress. All the Solar Power Plants pursued by DMRC are based on RESCO Model i.e. 'No Capital expenditure has been borne by DMRC'. As on January 17, 14 MWp capacity of Solar PV plants had been commissioned.

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## (m) Training and Development

### **Response of DMRC:**

DMRC, as an organization, puts a lot of premium on ethics. It is needless to mention that DMRC has Zero tolerance to corruption. Every employee is expected to steer clear of all temptations and take DMRC to greater heights of being recognized as one of the most transparent and ethical organizations not only in India but globally. There is a detailed Code of Values and Ethics for DMRC employees. Moreover, Ethics has been introduced as a topic of training for curriculum for all the new recruits as well as refresher courses at our Training Institute precisely for this reason. There are some broad principles laid down for its employees which if followed, will ensure that you are on the right path of ethical living. In brief these are:

- Honesty in thoughts and deeds will help act with sense of fair play and impartiality.
- Should not knowingly violate laws and regulation in any consequential way.
- Will not take obligation in any form from anyone connected with official duty.
- Will make commitments carefully and keep them faithfully.
- Will avoid conflicts of Interest which when unavoidable, resolve them in favour of duties and responsibility than by benefitting personally.
- Will always place Company's interests ahead of personal interests.

## Questions and Replies:

**1. Is it mandatory for people joining DMRC to undertake specific training on Ethics before starting work?**

Yes, it is mandatory for people joining DMRC to undertake specific training on ethics before starting to work. There is a detailed Code of Values and Ethics for DMRC employees. Lectures on Work Ethics and Vision, Mission and Culture are part of the curriculum of orientation module.

This is an essential module which is imparted to each and every employee joining DMRC. Training in soft skills of frontline staff also factors in ethical capsules of DMRC.

**2. At what frequency do regular employees undertake refresher training? Does the policy have provision for event based training?**

Yes, employees undertake refresher training courses for certain works e.g. The Train Operators are given refresher training at regular intervals. The employees do undergo refresher training as follows:

1. Train Operators: 1 year
2. Station Controllers: 2 years
3. CRA's: 2 years
4. Station Managers/JEs: 3 years

In addition to this, on the recommendation of controlling officer, any employee can be trained with a refresher training anytime.

Yes, there is also a provision for event based training e.g. Tata Institute of Social Sciences designed a case study on DMRC and the outcome of the study was lack of Vision, Mission and Value clarity in DMRC's Junior Management so DMRC conducted a special training drive for them with an external facilitator.

DMRC is an important stakeholder in the Govt. Skill India Mission and operational plans are being chalked out in consultation with MODS/NSDC & KPMG.

**3. Is training on Ethics an integral and mandatory part of refresher courses? Please provide us details of this training module.**

Yes, it is a part of induction training module; something which is inculcated strongly in DMRC employees so Ethics is generally not repeated in refresher module.

**4. Is training on specific topics a necessary input for the career development of employees?**

Yes, training on specific topics is necessary input for career development of employees. The training needs are identified for various working levels and accordingly programmes are devised to fill up any gaps.

Even contractual employees undergo all training applicable to regular employees which is a key initiative of DMRC; the specific topics are being identified by management in view of current scenario and business needs of the organization.

**5. Are training programme regularly reviewed and adapted to the needs of the times, business and environment?**

Yes, the training programmes are regularly viewed and adapted to the needs of times, business and environment. The training modules are frequently visited by the trainers from external and internal sources to validate its relevance.

DMRC follows a more or less flat working level style which also ensures 360 degree learning from all angles. The technical training modules are regularly updated to accommodate various evolving needs i.e. updating of systems, procedures, etc.

Human resource is the only resource amongst all the factors of production, which appreciates with time. Focus on HR in DMRC is a passion. DMRC is deeply committed to developing its human resource through effective T & D initiatives, apart from ensuring proper care by providing a slew of facilities and welfare measures.

**6. How is the attendance to the training programmes ensured in the wake of continuous work pressure,**

**unforeseen urgency, and low priority attached to it by departments?**

Training calendar is prepared and refresher batches are planned in advance. The participation from different departments is invited as per the strength. Flexibility in schedule is also kept to accommodate any last minute changes.

**7. How is the attention of the participants ensured during training programmes? Is there evaluation test at the end of the course?**

Training pedagogy for DMRC is dynamic and is based on evolving needs of the organization. It usually includes a healthy mix of power point presentations, group discussions, role play, practical exposure, stimulation, site visits, etc. to make training participatory for trainees.

Yes, there is an evaluation after completion of a training module. The passing mark in normal cases is 60%. However, this is usually used in bulk training methods. For niche trainings, feedback form is used as an indirect tool for evaluation.

**8. What are the measures being taken for continuous development of the training faculty?**

Train the trainer programmes are organized indoor as well as outdoors to keep them updated and well informed.

**9. Is the training faculty mostly in-house or drawn externally? If latter, please provide names of some leading external institutes and agencies?**

The training is mostly in house. On special topics, external faculties/ agencies are engaged. The external facilities are engaged in two ways i.e individually and organization. Some of the institutes are:

- IIM, Ahmedabad
- IIM, Kolkata
- AIMA



- PMA
- MDI, Gurugram

**10. How is the need and suitability of a specific training programme for an individual employee decided? Is it an outcome of the Performance Appraisal System?**

Training programmes are planned for job specific requirement which is designed in keeping the work and business scenario along with individual/group's capability undergoing the training.

On promotion/transfer/cadre shift, the employee undergoes foundation training of that particular department or else various workshops are also conducted from time to time to fill the gaps, if any.

Special training programmes to cover new systems/developments are also imparted as per need of organization and business scenario.

**11. What is the process for evaluation and hiring external training institutes/agencies?**

Through Open/Limited Tender with technical qualification, we hire the technical external agencies. In case of Non Technical Training, the course content, brand and trainer are generally identified along with optimal cost factor.

**12. To what extent has web-based training being introduced in DMRC?**

Computer-based training has been introduced for certain topics where an employee can have self learning.

**13. Is it mandatory to undertake training on Ethics at all levels of hierarchy?**

Yes, training on Ethics is a basic mandate for all DMRC employees. It is an integral part of foundation training module whenever there is change in hierarchy of an employee.

**14. What is the average time spent by an employee in a year on the basis of training/ development programme?**

Currently, there is no statistical data available but DMRC being a learning organization emphasises on every employee undergoing training at least once a year.

**15. Is there a clear distinction between technical and non technical (behavioral) training?**

Yes, there are predefined criteria which separate technical and non technical training.

**16. Does DMRC use any tool to measure the effectiveness of training?**

A detailed feedback is taken at the end of all trainings to measure its effectiveness.

**17. What are the inputs for determining and allocating the training budget?**

- The budget is determined upon the following factors:
- The number of employees to be inducted during the financial year.
- Number of employees to undergo refresher training during the FY.
- Renewal of contract of AMC, external training.
- Training materials, teaching aids required etc.

**18. Does DMRC have a policy for further education of employees while in service?**

Yes, DMRC has laid down a detailed policy for its employees who are willing to acquire higher education while in service. The education can be full time or part time and is subject to a maximum of 10 percent working employees in a particular year, subject to management approval.

**19. What is the DMRC's policy for foreign training? Is there a bond attached to it?**

Yes, DMRC nominates its employees for foreign trainings also. There is a bond attached to the same with a value of amount paid to train the employee and the bond period depending on the duration of the training.

**20. How is it ensured that an employee shares her/his knowledge after returning from foreign training?**

There is a provision in DMRC that all employees who have undergone foreign training have to share their experience and knowledge in various interaction platforms and a presentation is also made to the management.

**21. Attrition is a major problem these days. How does DMRC ensure retention of knowledge imparted during training?**

DMRC being a pioneer in MRTS services in the country enjoys the brand repute. Attrition is not a cause of concern currently, however, with new metros coming up, we are emphasizing on better engagement strategies and career planning to retain good employees.

**22. What is the mechanism for improving training programmes based upon feedback from the participants?**

Based on trainee feedback of the trainer and the training programmes along with trainee's suggestions, reviews are conducted and changes are done accordingly. If the changes are found suitable, they are approved by the approving authority.

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## **(n) Implementation, Monitoring and Evaluation of Code of Ethics**

- 1. How is the Code of Ethics implemented, monitored and evaluated throughout the Organization in all its departments, offices, stations, locations, workshops, and project sites? Is it the responsibility of individual managers/supervisors or is there a central department for this purpose? For example, Ethics Office, HR department or Compliance Department.**

The Code of Ethics is implemented in DMRC by HR. Its monitoring is done on individual basis as well as by supervision of seniors and Vigilance Department. It is the holistic responsibility of every employee to abide by Code of Ethics as a responsibility in individual / managerial or organisational capacity. The overall monitoring and evaluation is done by HR and Vigilance department.

- 2. Does every employee undergo mandatory training on the Code of Ethics so that he/she understands and practices it? Are refresher courses conducted?**

It is mandatory for every employee to undergo training on code of ethics. The training pedagogy contains documented Code of Ethics, the case studies, examples and role playing to provide a deeper understanding of Code of Ethics and exemplify its practice in a real life scenario. Refresher courses are conducted on need basis.

- 3. Is every employee required to sign an undertaking in her/his individual capacity to abide by the Code of Ethics?**

Yes, every employee is required to sign an undertaking in her

/ his individual capacity to abide by the Code of Ethics at the time of joining.

4. **Is it mandatory for all new joinees to undertake training in Code of Ethics and sign an undertaking to abide by it before starting any work for the Organization?**

Yes, it is mandatory for all new joinees to undertake training in Code of Ethics and sign an undertaking to abide by it before starting any work for the organisation. It is done as a part of joining in the on-boarding training in DMRC.

5. **Is a similar undertaking also taken from all vendors, third parties, service providers, associates and affiliates of the Organization?**

No such Code of Ethics is signed from all vendors, third parties, service providers, associates and affiliates of the organization. However, a declaration in this regard for avoiding corrupt and fraudulent practices is taken as mandatory document.

6. **In case of violation of Code of Ethics, does a guideline exist to help the Management to address and rectify the violations swiftly and thereafter evaluate them for improvement?**

In case of violation of Code of Ethics, DMRC's Conduct Rules on D&AR (Disciplinary & Administrative Rule) helps the management to address and rectify the violations swiftly and thereafter evaluate them for improvement. This is also coupled with the positive discipline rules.

7. **What are the major constraints and hurdles faced by DMRC in implementing its Code of Ethics under the Indian conditions (delays, laid-back attitude, internal bickering, hostile unions, labour issues, inefficiencies, corruption, political pressures, discrimination, weak legal system etc.)?**

The major constraints and hurdles faced by DMRC in implementation of D&AR are:

- a) Individual failures which come up from time to time.
- b) Improper management of issues by line managers.

**8. How strong is your emphasis on adopting latest technologies and automation to implement your goals and achieve world-class status? Would you still adopt them if they were to result in loss of employment?**

DMRC plays a strong emphasis on adopting latest technologies and automation to implement its goals and achieve world-class standards. DMRC will still adopt them if they were to result in loss of employment. However, DMRC cares for its employees in a benevolent manner, so the loss of employment would mean restructuring and re-employing such employees.

**9. Do you feel that DMRC has institutionalized the Code of Ethics sufficiently to ensure no disruption of good practices with changes in Leadership and Management?**

DMRC has institutionalised the Code of Ethics in an optimum manner ensuring no disruption of good practices happen due to change in Leadership and Management. The leadership tree is an internal phenomenon in DMRC.

**10. Please share with us some examples of best practices and case studies which highlight that DMRC is today a strong, upright and professional organization which sticks to its Code of Ethics even in the face of severe adversity.**

DMRC follows certain best practices to be an ethical organisation even in the face of severe adversity, some of the examples which indicate the same are:

- a) Bottom up approach which enables an employee to approach MD.
- b) Dependence on technology to create transparency in the system.
- c) Strong Vigilance Department.
- d) Zero tolerance towards corruption.

## **ANNEXURE II**

# **SUGGESTIONS FOR SUSTAINABILITY**

## **Suggestions for Sustainability**

### **1) Selection of Leader:**

Leadership will continue to play a pivotal role in steering the organization, particularly during turbulent times. Therefore, high personal integrity and proven professional competence in the transportation sector should be the key selection factors for a leader. Age, seniority and hierarchy should be kept out of the selection process. In line with the global trends, it is better to select a leader in the age bracket of 45 to 55 years rather than someone close to retirement. Moreover, all top positions need not only be restricted to employees in Government or public service but should be thrown open to the private, corporate and academic sectors.

### **2) Regular Training on Ethics:**

The recommended cycle for this training is 2 years. A web-based training course (approx. 2.5 hours duration) should be developed for this purpose. This web-based training should be followed by a simple online test of about 45 minutes duration consisting of objective type questions with multiple choice answers. It should be mandatory for every employee to pass this test with a 100% score. An employee can repeat the training course and test multiple times until she/he achieves 100% score. The questions in the test should keep changing with every attempt but will always be based entirely on the training course. For the sake of confidentiality, intermediate attempts are not recorded.

Employees can peacefully undertake this training and test at their own workplace without any time or peer pressure. The HR department should develop a system to remind individual employees that their trainings on ethics is due by a particular date. It should be part of



the HR policy that employees will not be eligible for promotion or increment unless they successfully complete this training.

Apart from the regular training cycle of 2 years, every new assignment and transfer must be preceded by a training and test on ethics.

### **3) Performance Appraisal and Management System:**

Transparency and objectivity increase employee motivation and result in more ethical behaviour. The Performance Appraisal and Management System (PAMS) should to be aligned to these requirements.

Apart from professional expertise and competence in functional areas, every employee needs to be evaluated on capabilities, also termed as soft skills, as well. Some examples of these capabilities are:

- Leadership Qualities.
- Ethics and Values Orientation.
- Strategic Orientation.
- Innovative Capability.
- Supplier Interaction.
- Public/Commuter Interface.
- Change Management.
- Team Development.
- Outcome or Results Orientation.
- Intercultural Sensitivity.

HR needs to clearly define each capability in detail. For example, leadership qualities could be defined as the capability to align employees with the organizational/departmental goals and build effective groups/teams. In addition, it includes the ability to take over leadership roles in both conventional line/staff functions as well as in cross-functional committees or project teams or informal groups. Similarly, Ethics and Value Orientation can be defined as the capability to act in alignment with DMRC's ethics and

vigilance policies, to exhibit responsibility with integrity and, above all, act in consonance with what one says and believes in.

A set of capabilities needs to be identified for each employee depending on his/her level and function in the organization. Each capability should be evaluated on a scale of 1 to 6 so that appraising managers do not have the easy option of ticking a middle number. A reference description should be available for each number on the scale so that there is uniformity of evaluation across the organization. For example, the numbers on the scale of leadership could mean:

- ①: Uses authoritative or directive approach.
- ②: Explains what to do and why.
- ③: Allows inputs and opinions from individuals and teams.
- ④: Engages and empowers teams to perform.
- ⑤: Creates and motivates high-performance teams.
- ⑥: Builds and becomes a benchmark for high-performance team culture.

The performance appraisal should not be left entirely to the discretion of the reporting manager but instead it should be done in “Round Tables” where, apart from the reporting manager, one higher level and other departmental managers are also present.

The complete appraisal is discussed between the reporting manager and the employee under four eyes. The employee is free to agree or dissent with the evaluation. She/he has the right to record disagreement on various aspects.

The outcome of PAMS also serves as a valuable input to identify the training needs of individual employees.

#### **4) Performance-based Pay:**

A variable Performance-based Pay could be introduced for all employees. In this system, the salary comprises of a Fixed Pay (FP) component (say 70%) and a Performance Pay (PP) component

(30%). The PP is payable in accordance with the fulfillment of pre-defined targets, which are set at the beginning of a Financial Year (FY). While the FP component is paid monthly, the PP component is paid as a lump-sum at the end of the FY after evaluation of the achievement of targets.

The PP component comes as a variable incentive. If the target is met, it is paid 100%. If the target achievement falls below a predefined limit, it is zero. If the achievement exceeds a predefined upper limit, it is paid 200%. Intermediate values are computed in linear proportion.

The targets have to be SMART (Specific-Measurable-Achievable-Realistic-Time Bound) such that they can be evaluated objectively. Usually, a maximum of 8 to 10 targets are set at the beginning of the financial year for each employee. The targets can be weighted as per their importance.

The combination of PAMS and variable Performance-based Pay system helps to distinguish between poor, average and good performers in a fair and objective manner. It also makes the entire process of increments, promotions and transfers transparent. The entire exercise, including target settings and achievements, is carried out and agreed with individual employees in an atmosphere of openness and trust. This reduces uncertainty, friction and frustration and improves the working environment.

Today, in all leading organizations, these systems are considered essential towards improving institutional ethics and ensuring sustainability.

## **5) Salary Structure:**

An essential part of institutional ethics is to adapt the salary structure to market conditions. Personal ethics of individuals can often falter if the remuneration is not commensurate with the qualifications, competence, effort and experience. This problem becomes more severe with increasing competition. The attrition rate is a good feedback for improvement within the organization. Usually, attrition rates beyond 10% are a trigger for concern and corrective measures become necessary once this figure exceeds 15%. In view of rapid

technological and structural changes expected in the coming years, DMRC should have the flexibility to adapt to a market-linked salary structure. To remain as one of the top performing organizations at a global level, it is important that the salary structure should be in the top 80% percentile of the mobility sector in India.

### **6) Employee Feedback Survey:**

An Employee Feedback Survey (EFS) should also be undertaken every 2 years by contracting an external independent agency. This agency should not be the same as the one used by COMET for conducting the Customer Satisfaction Survey (CSS). As far as possible, this survey should also not be undertaken in the same year as the CSS. Unlike the CSS, the EFS is not sample-based but should cover each and every employee. The EFS should essentially be an online survey, preferably through mobile phones. Both surveys serve the important purpose of providing valuable feedback to improve the organization and ensure its sustainability.

The results of EFS and CSS can constitute the targets for managers in the Variable Performance-based Pay system described above. The corrective actions needed after the survey can form the targets for the succeeding year. In this manner, the whole organization develops a sustainable inertia for continuous improvements.

### **7) Working under Stress:**

While conducting this study, we observed that DMRC officials, particularly in senior and medium level positions, are often working under high pressure. We gained the impression that working in a crisis mode seems to have become a routine for them. The passion and efforts of individual officers are no doubt laudable but from an overall organizational perspective, constant ‘fire-fighting’ is certainly not a desirable situation. Sustained working under stress often leads to fatigue, wear out and physical/mental ailments. After a certain point of time, an employee can start developing the feeling of giving far more to the organization than what she/he gets in return. The short-term consequences can be absenteeism, transfer requests and attrition. The mid to long-term consequences can be

worse and could range from demotivation and depression to falling prey to unethical activities. It should be the endeavour of the top management and HR department to ensure that, notwithstanding the sporadic crisis, employees are loaded on an average up to a maximum of 80% with routine activities so that 20% capacity is available for strategic/innovating thinking, development and growth. Some of the measures to achieve this are increased emphasis on training, enhancing competence, using latest technological tools and simplification of processes and guidelines.

### **8) Towards Paperless Operations:**

Instead of treating only hardcopies as official documents, DMRC should consider going paperless to the maximum possible extent.

Modern technologies have enabled that information and data can be transferred and stored electronically in a secure manner without loss of confidentiality. Electronic transmission provides much higher security than any conventional paper-based communication by using multiple-level encryption techniques. For example, confidential mails are transmitted in an encrypted manner such that only the targeted individuals can open them on their specific machines after entering individual-specific passwords. Similarly, storage and archiving should also be paperless preferably using latest cloud-based technologies.

As a first step to becoming paperless, the HR department should take the lead. All circulars, procedures, guidelines, performance appraisals, expense reports, salary slips, tax forms etc. should be in e-mode only. Print-outs should be taken only in exceptional cases such as (a) for those employees who do not have access to computers, (b) when manual signatures are necessary and (c) if an external party insists upon paper documents.

The advantages offered by electronic communication and documentation are so huge that they can raise the productivity of an organization substantially. Some of the more significant benefits are:

- Higher security.
- Capability to handle large volumes of data.

- Flexibility and ease of handling.
- Reduced corruption.
- Saving of storage space.
- Cleaner and neater office layout.
- Improved economy.
- Lower maintenance costs.
- Reduced fire hazards.
- Environment friendly.

It is suggested that DMRC could launch an internal awareness campaign for paperless offices. If required, training courses can be organized to provide further impetus.

### **9) Office Layout and Cleanliness:**

The internal layout of Metro Bhavan, the Head Office of DMRC, is visibly cramped. A packed seating arrangement and clutter can lead to irritation, tension, reduced efficiency and loss of confidentiality. Ideally, at regular intervals of six months, every employee should be asked to spend half a day to clean his/her drawers, filing spaces and immediate surroundings. There should be no paper, catalogues, files, cartons or equipment lying on the floors or on the window sills. As far as possible and legally permissible, paper should be done away with and digital storage should be made mandatory. Printers and photocopying machines should be few and far apart.

DMRC should also plan to revamp its office layout by adopting the latest smart 'Open Office' concept. Open Offices are characterized by modular designs, transparent glass partitions, smaller workstations, flexible seating arrangements and almost paperless operations.

### **10) Sponsorship, Donations and Membership:**

Sponsorship, Donations and Membership are an integral part of Institutional Ethics. As per the response received to our questionnaire on this topic, DMRC is following proper practices. It is nevertheless important that HR should prepare a policy document which covers all aspects of this subject. This will ensure that the good practices

being followed by the Management today will continue to be followed by subsequent generations as well.

In this policy document, the justification for sponsorships should be emphasized. Important points to be noted are:

- Relevance examination. How relevant is the sponsorship for the organization? Is it in line with the stated objectives? Are there internal or external pressures to sponsor a particular event?
- Cost-benefit analysis. A cost-benefit analysis encompasses both quantitative and qualitative advantages for sponsoring an event. These include, for example, free tickets for an event, preferential seating arrangement, prominent advertisement of brand/logo, lamp lighting by MD, mention in opening/closing addresses, participation in panel discussions etc.
- Formulation of a written agreement. This agreement must clearly spell out the payment amount, received benefits and other terms and conditions.

In the interest of total transparency, all monetary transactions should be digital via authorized banking channels only. It is also important that records of all expenditures are carefully maintained.

As regards to membership of clubs, it should be mandatory that the officer declares the names of persons entertained in case the incurred expenditures are claimed as official expenses.

### **11) Knowledge Sharing and Retention:**

As part of institutional ethics, it is important for DMRC to evolve a mechanism for absorbing and sharing knowledge and knowhow. The organization spends substantial amounts in training its employees on latest systems, tools and technologies. Such trainings include:

- In-house by experts and experienced staff.
- External by deputing employees to academic, research or specialized institutes, both in India and abroad.

- At supplier premises and facilities both in India and abroad.
- On-site training at project construction sites.
- On the job training at running/operational sites/stations/offices etc.

Before deciding any training, a target should be fixed for the employee such that a measurable benefit can accrue to the organization. For example, if an employee is sent abroad for advanced technical training on a particular subject, a quantifiable import substitution target can be fixed prior to deputation.

Furthermore, it should be part of the target setting mechanism that trained employees would train other employees and share their acquired knowledge within the organization. A computerized knowledge repository system should be developed in-house so that specialized knowledge and know-how are retained even in the absence of the employee.

In the absence of such a target-setting mechanism, training does not get the seriousness it deserves. It is often perceived as a source of relaxation from an otherwise busy routine or as an incentive for some good work done.

## **12) Safety, Health and Environment:**

Safety, Health and Environment measures are being followed by DMRC very effectively, particularly at the worksites. Given below are some suggestions to enhance these measures in line with the latest global practices:

- a) Diesel Generators should be phased out in a time-bound manner and replaced by Small Gas Turbines (SGT). This will reduce both pollution and noise levels.
- b) The good practices being followed at worksites need to be replicated at the offices to the extent possible. Some of these are:
  - Emergency Coordinators (EC) who are trained to handle safety and health issues. Normally, these are regular employees who are imparted special training



to handle emergencies. In case of an unfortunate eventuality, they coordinate all emergency activities such as operating fire-extinguishers, evacuation, providing first-aid and life support etc. The seating locations of these persons should be clearly identified by means of overhead hanging signboards. As a minimum, there should be two ECs per 100 employees.

- All employees must participate in emergency drills and undertake awareness programs on safety precautions, available exit routes, emergency response etc. These activities should be coordinated by the ECs and held at regular intervals of six months.
- Before the start of a meeting with visitors in any conference room, the exit routes of the building and final assembly point must be graphically explained, preferably by means of power point slides.
- Fortnightly safety walks in and around the building should be undertaken. It is desirable if a representative of the top management can accompany the SHE team on this mission.

- c) Sound mental health and positive attitude of employees are essential ingredients to create a pleasant and efficient working environment. In the hectic and stressed urban life of today, many employees need psychological help to cope up with pressures and thereby remain cheerful, motivated and physically fit. It is therefore suggested that DMRC should hire an external professional agency for providing psychological help to its employees. Any employee can approach such an agency in complete confidentiality.

Investment on mental health should not be viewed as a financial burden because the payback in terms of efficiency of motivated employees substantially exceeds the expenditure.

- d) DMRC needs to formulate a policy for compensation to employees who work in hazardous areas. For example,

working in underground tunnels can be considered hazardous both from the safety and health aspects.

### **13) Financial Health:**

A healthy financial bottom line is an essential pre-requisite for the sustainability of any organization. Even the most ethical organizations tend to deteriorate if they continue to suffer losses over long periods. For any organization, irrespective of whether its objective is to make money or to serve the society, continuous financial weakness has multiple drawbacks such as:

- a) It can become a breeding ground for unethical practices.
- b) Public confidence and perception tend to wane as criticism starts mounting.
- c) Growth and expansion possibilities get stunted because investors are reluctant to put money in loss-making ventures.
- d) Employee morale declines because everyone wants to work in a profitable organization which offers her/him better growth prospects.

Even though DMRC is performing well by making profits on its operations, it must make a concerted effort to improve the bottom line after servicing its debts. In fact, DMRC should include in its mission statement a target turnaround time by when it will show a black zero bottom line as a minimum.

Some suggestions for the improvement of the bottom line are:

- Continuously adapt and optimize resources.
- Make focussed efforts to improve efficiencies of all work cycles.
- Encourage domestic SMEs to manufacture compatible spares and consumables, which are otherwise expensive to procure from OEMs.
- Introduce own mobile wallet for cashless digital ticketing. With a daily passenger base which is

touching almost 3 million, this can be a sound and lucrative decision.

- Augment revenue streams, for example through consultancy, advertisements, integrated last mile connectivity, etc.
- Use innovative yet ethical ways to increase profits, despite the pressures on fares.
- Divest 10 to 20% shares to the public.
- Create a shift from the paradigm that organizations in public service generally make losses.

#### **14) Technology Cell:**

DMRC should create a special Technology Cell to study latest global technological trends and not depend entirely on the information provided by multinational suppliers. In addition, this special cell could perform the following functions:

- Tie up with a local research institute to carry out independent research as well as to track futuristic research projects.
- Develop software in-house which should cater exclusively to the requirements of DMRC.
- Fund PhD projects (typically 10) on public mobility by tying up with a leading academic institute such as IIT Delhi.

Intrinsic technological strength is a major enabler for practically all areas of institutional ethics. It motivates the employees by giving them self-confidence and makes them proud of their organization. It also serves to strengthen the image of the organization in the eyes of the public. Other benefits include reduced costs, better time and quality controls, and, above all, a deep sense of security and satisfaction.

It is a well-established fact that technically strong organizations generally perform better on all aspects of ethics, particularly when it comes to corrupt practices.

### **15) Improving Customer-Centricity:**

As part of its efforts to take customer-centricity to greater heights, DMRC could consider the following improvements:

- a) Increase the car parking capacity at the metro stations. Currently, the car parks are so full that vehicles are being parked on the roadsides. This leads to traffic congestion. Multi-level car parks would be a good option to increase capacity.
- b) It should be possible to buy return tickets. For example, a person travelling from Hauz Khas to HUDA City Centre should be able to buy a return ticket while purchasing the ticket for the onward journey.
- c) There should be separate queues for senior citizens at all counters of stations. During rush hours, it may even be a good idea to have a separate coach in the trains for senior citizens and disabled persons.
- d) The metro trains are jam-packed with young travellers, mostly delivery boys, who carry huge backpacks. These backpacks can lead to injuries to co-passengers. DMRC should formulate a clear policy on this issue and implement it.
- e) The metro stations are equipped with escalators for only going up. For going down, one has to either locate an elevator or use the long flight of stairs. It would be convenient, particularly for senior citizens, if escalators for downward movement are planned at stations which are yet to be constructed.

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## **ANNEXURE III**

# **VALUES, ETHICS & ENVIRONMENTAL POLICES**

 **दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड**  
**Delhi Metro Rail Corporation Limited**  
**VALUES AND ETHICS**

**National Interest :** DMRC shall not undertake any project or activity to the wider interests of the communities in which it operates.

**Equal opportunities employer :** DMRC shall provide equal opportunities to all its employees and all qualified applicants for employment without regard to their race caste, religion, colour, ancestry marital status, gender, sexual orientation, nationality or disability.

**Gifts and donations :** DMRC and its employees shall neither receive nor offer or make, directly or indirectly, any illegal payments, remuneration, gifts, donations or comparable benefits that are intended, or perceived to obtain favours for the conduct of its business.

**Health, safety and environment :** DMRC shall strive to provide a safe, healthy, clean and ergonomic working environment for its people.

**Quality of products and services :** DMRC shall offer services of world class quality standards, consistent, consistent with the requirements of its customers, while striving for their total satisfaction. The quality standards of the services shall meet applicable national and international standards.

**Corporate citizenship :** DMRC shall be committed to good corporate citizenship, not only in the compliance of all relevant laws and regulations but also by actively assisting in the improvement of improvement of quality to life of the people in the communities in which it operates.

**Third of party representation :** Agencies having business dealings with DMRC, such as consultants, contractors and vendors, shall not be authorized to represent DMRC without the written permission of DMRC.

**Ethical conduct :** Every employee of DMRC shall deal on behalf of the company with professionalism, honesty and integrity, while conforming to high moral and ethical standards. Such conduct shall be fair and transparent and be perceived to be so by third parties.

**Regulatory compliance :** Employees of DMRC in their business conduct, shall comply with all applicable laws and regulations, in letter and spirit, in all the territories in which they operate. If the ethical and professional standards of applicable laws and regulations are below that of the standards of the Code shall prevail.

**Concurrent employment :** Consistent with applicable laws, an employee of DMRC shall not, without the requisite official written approval of the company accept employment or a position of responsibility (such as a consultant or a director) with any other company, not provide freelance services to anyone.

**Conflict of interest :** An employee of DMRC shall always act in the interest of the company, and ensure that any business or personal association which he/she may have does not involve a conflict to interest with the operations of the company and his/her role therein.

**Securities transactions and confidential information :** An employee of DMRC and his/her immediate family shall not derive and benefit or counsel, or assist others to derive any benefit, from access to and possession of information about the company or group or its clients or suppliers that is not in the public domain and, thus, constitutes unpublished insider information.

**Protecting company assets :** The assets of DMRC shall not be misused; they shall be employed primarily and judiciously for the purpose of conducting the business for which they are duly authorized.

**Integrity of data furnished :** Every employee of DMRC shall ensure, at all times, the integrity of data or information furnished by him/her to the company.

**Reporting concerns :** Every employee of DMRC shall promptly report to the management, when she/he becomes aware of any actual or possible violation of the Code or an event of misconduct, act of misdemeanor or act not in the DMRC's interest. **Immunity :** Every employee of DMRC shall be law abiding and will not embarrass the organization in any way.



For any Complaints/Queries/Suggestions please contact:  
24 hrs. DMRC Helpline Number 155370, 011-22561231 helpline@dmrc.com



# दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड

## DELHI METRO RAIL CORPORATION LTD

### संकल्पना

दिल्ली मेट्रो में यात्रियों को उत्कृष्ट यात्रा का अनुभव कराना।

### VISION

Commuting experience in Delhi Metro to be customer's delight.

### उद्देश्य

- ▶ वर्ष 2021 तक संपूर्ण दिल्ली और उसके आसपास के क्षेत्र को मेट्रो नेटवर्क द्वारा जोड़ना।
- ▶ मनोभाव के साथ यात्रियों एवं भिन्न रूप से सक्षम ग्राहकों को सेवा प्रदान करना।
- ▶ निम्नवत् मानदण्डों पर भारत में परिवहन के क्षेत्र में नम्बर-1 छवि और एशिया के शीर्ष 3 मेट्रो रेल प्रणाली में अपनी उपस्थिति बनाए रखना :
  - संरक्षा ● विश्वसनीयता ● समयबद्धता
  - गुणवत्ता और ● ग्राहक के प्रति उत्तरदायित्व।
- ▶ दिल्ली मेट्रो को आत्मनिर्भर बनाना।

### MISSION

- ▶ To cover the whole of Delhi & adjoining areas with a Metro Network by the year 2021.
- ▶ To serve customers including 'differently abled' commuters with passion.
- ▶ To sustain the image of being Number One in the transportation sector in India and to be among the Top 3 Metro Rail systems in Asia, with regard to :
  - safety ● reliability ● punctuality
  - quality and ● responsiveness to customer.
- ▶ To make Delhi Metro self-sustainable.

### संस्कृति

- ▶ डी.एम.आर.सी के उद्देश्यों के प्रति प्रतिबद्ध होना और यात्रियों को सुरक्षित यात्रा का अनुभव कराना।
- ▶ स्टेशनों पर प्रतीक्षारत यात्रियों के आवागमन को ईष्टतम एवं सुचारू रूप से सुनिश्चित करना।
- ▶ डी.एम.आर.सी. के साथ व्यवसाय को सरल बनाना तथा निपुणता, गौरव एवम् गरिमा के साथ अपने हितकारियों (स्टेकहोल्डर) को सेवा मुहैया कराना।
- ▶ 'कर्मचारियों के साथ सर्वश्रेष्ठ कार्य' और 'हमारा आशय व्यवसाय' प्रवृत्ति को प्रभावी, उत्तरदायी, पारदर्शी और विनम्र बनाए रखना।
- ▶ 'ट्रेन' एवम् 'परिसर' की स्वच्छता सुनिश्चित करना।
- ▶ हमारे कर्मचारी जनसामान्य से मुलाकात के दौरान
  - सुव्यवस्थित वर्दी में ● समयबद्ध ● विनम्र और ● समानुभूतिपूर्ण, रहेंगे।
- ▶ निगम के सभी निर्णयों और लेन-देन में समुचित पारदर्शिता रखना।
- ▶ निर्माण के दौरान, जनसामान्य को असुविधा एवं खतरा ना हो और ना हि हमारा कार्य पारिस्थितिकी या पर्यावरणीय क्षरण का कारण बनाया जाए।
- ▶ डी.एम.आर.सी की सभी संरचनाओं का कलात्मक नियोजन किया जायेगा एवम् इसकी देख-रेख भली-भाँती की जायेगी।
- ▶ अपव्यय में निरन्तर कटौती का प्रयास।
- ▶ डी.एम.आर.सी एक ज्ञानोपाजित संगठन है। हम जो भी करेंगे उसमें सुधार के लिए हर संभव प्रयास करेंगे।

### CULTURE

- ▶ Be committed to DMRC's Mission and provide a secure commuting experience.
- ▶ Ensure optimal and smooth waiting transition at stations.
- ▶ To serve all our stakeholders with pride, perfection, and dignity and make it easier to do business with DMRC.
- ▶ To sustain 'Leaner the better' and 'we mean business' attitude by being effective, responsive, transparent and courteous.
- ▶ Our 'trains' and 'premises' shall be spotlessly clean.
- ▶ Our staff having public interface shall be
  - smartly dressed ● punctual ● polite ● empathic.
- ▶ To maintain full transparency in all our decisions and transactions.
- ▶ During construction we should neither inconvenience nor endanger public life nor should our work lead to ecological or environmental degradation.
- ▶ All structures of DMRC will be aesthetically planned and well maintained.
- ▶ To cut waste relentlessly.
- ▶ DMRC is a learning organization. We will strive to improve in whatever we do.



For any Complaints / Queries / Suggestions,  
please contact:

24 hrs. DMRC Helpline Number 155370,  
011-22561231 helpline@dmrc.org





## DELHI METRO RAIL CORPORATION LIMITED दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड



### गति में निर्वहन

#### गुणवत्ता, पर्यावरण, स्वास्थ्य और संरक्षा नीति (परिचालन एवं अनुरक्षण)

दिल्ली मेट्रो रेल कॉर्पोरेशन अपने दैनिक यात्रियों, कर्मचारियों, टेकेदारों और आपूर्तिकर्ताओं अन्य पणधारियों का सहयोग सुनिश्चित करके 'गति में निर्वहन' करने के लिए दृढ़तापूर्वक वचनबद्ध है।

इस दिशा में डीएमआरसी निम्न प्रयास करेगी:

- \* सेवा की गुणवत्ता सुधारने के लिए प्रत्येक अनुरक्षण गतिविधि में सर्वोत्तम उपलब्ध प्रणालियाँ अपनाएगी।
- \* दैनिक यात्री संतुष्टि हासिल करने के लिए सेवाओं का यथा समय परिदान।
- \* युक्तियुक्त नीतियाँ, प्रक्रियाएँ और विधियाँ अपनाकर प्रदूषण, चोट और स्वास्थ्य की हानि को रोकथाम।
- \* परिचालन एवं अनुरक्षण में ऊर्जा बचत, पर्यावरण अनुकूल, स्वास्थ्य और संरक्षा मामलों पर ध्यान देना।
- \* सभी लागू पर्यावरण, स्वास्थ्य और संरक्षा विधानों और अन्य शर्तों का अनुपालन जिन्हें हम मानते हैं।
- \* प्रशिक्षण, जागरूकता और निरंतर क्षमता विकास के माध्यम से अपनी गुणवत्ता, पर्यावरण, स्वास्थ्य और संरक्षा प्रबंधन प्रणाली के प्रति सभी पणधारियों का अभिप्रेरण, सहयोग और उनकी भागीदारी सुनिश्चित करना।
- \* गुणवत्ता, पर्यावरण, स्वास्थ्य और संरक्षा के लक्ष्यों में निरंतर सुधार करना।

दिल्ली मेट्रो रेल कॉर्पोरेशन उपर्युक्त ध्येयों को पूरा करने के लिए सदैव नूतन और उन्नत तरीकों का प्रयोग करने के प्रयास करेगी।



मंगू सिंह

मंगू सिंह

प्रबंध निदेशक

तिथि : 12 सितम्बर, 2012

स्थान : नई दिल्ली

### Sustainability in Motion

#### QUALITY, ENVIRONMENT, HEALTH & SAFETY (QEHS) POLICY (OPERATIONS AND MAINTENANCE)

Delhi Metro Rail Corporation (DMRC) is firmly committed to providing 'Sustainability in Motion' by ensuring involvement of its commuters employees, contractors and suppliers, other stake holders.

DMRC shall strive to work towards:

- \* Adopt best available practices in every maintenance activity to improve quality of service.
- \* Timely delivery of services to achieve commuter satisfaction
- \* Prevention of pollution, injury and ill health by adopting suitable policies, processes and procedures.
- \* Consideration of energy efficient, environment friendly, health and safety issues in operation and maintenance.
- \* Compliance with all applicable EHS legislations and other requirements to which we subscribe.
- \* Ensure motivation, involvement and participation of all stake holders to our QEHS Management System through training, awareness and continuous competence building.
- \* Continual Improvement in quality, environment, health and safety targets.

Delhi Metro Rail Corporation shall always look forward to newer and improved ways of fulfilling the above objectives.

मंगू सिंह

Mangu Singh  
Managing Director

12th September, 2012  
New Delhi





## DELHI METRO RAIL CORPORATION LIMITED दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड

### पर्यावरण नीति

डीएमआरसी पर्यावरण के संरक्षण को अत्यधिक महत्व देती है और यह मानती है कि समुचित प्रक्रियाओं और नियंत्रण उपायों के बिना सन्निर्माण गतिविधियां पर्यावरण को क्षति पहुंचा सकती हैं।

तदनुसार, अपने कार्यकलापों के अनुसरण में, संगठन यह सुनिश्चित करेगा कि ऐसी प्रक्रियाएं और नियंत्रण उपाय स्थापित किए जाएं जो पर्यावरण का संरक्षण करते हों, चाहे वे विधिक रूप से अथवा अन्यथा अपेक्षित हों।

हम निम्न प्रयास करेंगे:

- \* सभी संगत पर्यावरण विधानों और विनियमों और अन्य पर्यावरण संबंधी प्रस्तावों का अनुपालन करेंगे जिनका हम समर्थन करते हैं।
- \* संसाधनों का कारगर उपयोग करके तथा उत्सर्जनों और अपशिष्ट में कमी करके हम पर्यावरण पर पड़ने वाले नकारात्मक प्रभावों को न्यूनतम करेंगे।
- \* पर्यावरण के संबंध में जागरूकता बढ़ाएंगे, प्रशिक्षण प्रदान करेंगे और दैनिक परिचालनों में पर्यावरण संरक्षण प्रक्रियाओं का समाकलन करेंगे।
- \* अपने कर्मचारियों द्वारा पर्यावरण संबंधी गतिविधियों की पहल और स्वामित्व को प्रोत्साहित करेंगे जिससे एक गहन पर्यावरण जागरूकता संस्कृति प्रतिस्थापित हो।
- \* यह सुनिश्चित करेंगे कि इस नीति का हमारे ठेकेदारों और उप-ठेकेदारों द्वारा सक्रियता से अनुपालन किया जाए।

डीएमआरसी अपने पर्यावरण निष्पादन में लगातार सुधार लाएगी और अपनी गतिविधियों का संचालन पर्यावरण के लिए उत्तरदायी तरीके से करेगी ताकि निरंतर विकास करने की एक वचनबद्धता स्पष्टतः परिलक्षित हो।

मंगू सिंह

मंगू सिंह

प्रबंध निदेशक

तिथि : 5 जून, 2012

स्थान : नई दिल्ली

### ENVIRONMENTAL POLICY

DMRC recognises the paramount importance of protecting the Environment and that without appropriate procedures and control measures, construction activities have the potential to cause environmental damage.

Accordingly, in pursuance of its activities, the organisation will ensure that such procedures and control measures are in place that safeguard the environment, whether required by statute or otherwise.

We shall strive to:

- \* Comply with all relevant environmental legislation and regulations, and other environmental initiatives to which we subscribe.
- \* Minimise negative impacts we may have on the environment, through efficient use of resources and reduction in emissions and waste.
- \* Raise environmental awareness, provide training and integrate environmental protection procedures into day to day operations.
- \* Encourage the initiation and ownership of environmental activities by our staff, thereby inculcating a strong environmentally aware culture.
- \* Ensure this policy is actively followed by our contractors and sub-contractors.

DMRC will continually improve its environmental performance and conduct its activities in an environmentally responsible manner clearly reflecting a commitment to fostering sustainable development.

मंगू सिंह

Mangu Singh

Managing Director

5th June, 2012

New Delhi





## DELHI METRO RAIL CORPORATION LIMITED दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड

ऊर्जा प्रबंधन नीति 2015

Energy Management Policy 2015

दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड दिल्ली राज्य एवं राष्ट्रीय राजधानी क्षेत्र में स्वच्छ और आरामदायक सार्वजनिक रेल परिवहन प्रणाली उपलब्ध कराने और परिवहन उद्योग में सभी परिवहन साधनों की अपेक्षा न्यूनतम ऊर्जा खपत करने वाली मेट्रो बनने के लिए वचनबद्ध है।

1. ऊर्जा की खपत, उसके उपयोग और ऊर्जा की बचत से संबंधित सभी संगत विधानों और उससे संबंधित जरूरतों का अनुपालन सुनिश्चित करना।
2. नवीकरणीय ऊर्जा स्रोतों के उपयोग जहां तक यह आर्थिक दृष्टिकोण से व्यावहारिक हो, को प्रोत्साहित करना।
3. ऊर्जा की खपत के मापदंड तय करना।
4. ऊर्जा की खपत का सदुपयोग करना और ग्रीन हाउस गैसों को कम करना।
5. समय समय पर समीक्षा कर ऊर्जा की खपत पर निगरानी रखना, इसे नियंत्रित करना और एक कारगर ऊर्जा प्रबंधन प्रणाली द्वारा ऊर्जा की खपत में सुधार लाना।
6. न्यूनतम लागत पर बिजली प्राप्त करना।
7. कर्मचारियों में ऊर्जा संरक्षण के बारे में जागरूकता पैदा करना।

"दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड  
ऊर्जा संरक्षण के लिए वचनबद्ध है।"

ऊर्जा संरक्षण दिवस  
दिनांक: 14.12.2015  
स्थान: नई दिल्ली

  
मंगू सिंह  
प्रबंध निदेशक

DELHI METRO RAIL CORPORATION Ltd. is committed to provide clean and comfortable public transport network in the state of Delhi & NCR and to be the lowest energy consumer in the Transportation sector on likewise basis.

1. Assuring compliance of all relevant legislation and other requirements related to energy consumption, its use and Energy efficiency.
2. Encourage use of renewable energy sources to the extent it is economically viable.
3. Benchmark energy consumption.
4. Optimize energy consumption and reduce green house gases.
5. Control & Monitor Energy consumption by periodic review and improve energy performance through an effective Energy Management System.
6. To obtain Power at minimum cost.
7. Create awareness about Energy Conservation amongst the employees.

"Delhi Metro Rail Corporation Ltd.  
is committed to energy conservation."

Energy Conservation Day  
Date: 14.12.2015  
Place: New Delhi

  
Mangu Singh  
Managing Director





## DELHI METRO RAIL CORPORATION LIMITED दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड

### जल नीति (परिचालन एवं अनुरक्षण)

दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड राष्ट्रीय जल मिशन के जल संरक्षण, जल की न्यूनतम बरबादी और इसके समुचित वितरण के उद्देश्यों को ध्यान में रखते जल संसाधन को दीर्घकालिक उपभोग एवं जल संसाधनों के बेहतर और कुशल प्रबंधन के लिए स्वयं को वचनबद्ध करती है।

इस दिशा में, डी एम आर सी निम्न प्रयास करेगी

1. अपने कर्मचारियों और साझेदारों (स्टेकहोल्डर) के गभ्य जल संरक्षण की जरूरत संक्षेपी जागरूकता बढ़ाने के लिए पर्यावरण प्रबंधन प्रणाली का विकास करना।
2. जल उपभोग की माप करके इसे 3 वर्ष में सार्वजनिक करना।
3. निम्न निम्न प्रयोजनों के लिए जल उपयोग के तलचिन्ह (बैचमार्क) बनाना और चुने हुए स्टेशनों और डिपो पर जल उपयोग की अर्धवार्षिक जांच करके अपव्यय न्यूनतम करना।
4. अपने जलमल उपचार संयंत्र (सीवेज ट्रीटमेंट प्लांट) और बहिःप्राय जल उपचार संयंत्र (एफ्ल्यूट ट्रीटमेंट प्लांट) से जल को पुनः चक्रित (रीसाइकिल) करना और यथा संभव सीमा तक बहिःप्राय का पुनः-उपयोग करना।
5. अगले दो वर्षों के लिए रेन वाटर हार्वेस्टिंग (वर्षा जल संग्रहण) के माध्यम से वर्षा का जल एकत्रित कर जल भरण की क्षिद्यमान मात्रा प्रति वर्ष 10 प्रतिशत बढ़ाना।
6. (i) जल का अपव्यय कम करने के लिए समस्त संगठन की लीकेज नियंत्रण योजना विकसित करना एवं कार्यान्वित करना।  
(ii) समस्त भावी संनिर्माणों/बदलाव के लिए जल मितव्यय टोटियों की व्यवस्था करना।
7. पम्पों को आवश्यकतानुसार आपरेंट करके बिजली की लागत घटाना ताकि 'रात' के समय के विद्युत प्रशुल्क की दरों का अधिकतम लाभ उठाया जा सके।
8. (i) अन्य सरकारी निकायों और नागरिक एजेंसियों के साथ भागीदारी करने की पहल करके डीएमआरसी संरचनाओं से वर्षा का जल एकत्रित करने के साधन विकसित करना एवम् उन्हें कार्यान्वित करना।  
(ii) सरकारी/गैर-सरकारी संगठनों/सार्वजनिक क्षेत्र के उपक्रमों/ग्राइवेट एजेंसियों के साथ भागीदारी कर मेट्रो स्टेशनों पर पीने योग्य जल की उत्तरोत्तर व्यवस्था करना।

डी एम आर सी जल से संबंधित सभी स्थानीय और राष्ट्रीय विधानों का अनुपालन करेगी और उपर्युक्त उद्देश्यों को पूरा करने के लिए संभावनाओं की तलाश करेगी।

मंगु सिंह

मंगु सिंह  
प्रबंध निदेशक

22 मार्च, 2016  
विश्व जल दिवस  
नई दिल्ली



### WATER POLICY (Operation & Maintenance)

Delhi Metro Rail Corporation, in keeping with the objectives of National Water Mission to conserve water, minimize wastage and ensure equitable distribution commits itself to manage water resource for better efficiency and sustainable consumption.

In this endeavor, DMRC shall strive to

1. Develop EMS (Environmental Management System) to promote awareness on the need to conserve water amongst our employees and stakeholders.
2. Measure the water consumption to put it in Public domain in 3 years.
3. Benchmark water usages for different purposes and minimize wastage by carrying out half yearly water audits at select stations and depots.
4. Provide recycling from our Sewage Treatment Plant (STP) and Effluent Treatment Plant (ETP) and re-use the effluent to the extent possible.
5. Increase the existing recharge quantity from rain water harvesting by 10% per year for next two years.
6. (i) Develop and implement organization wide leakage control plan to cut down wastage.  
(ii) Provide water efficient faucets for all future constructions/replacement.
7. Reduce energy cost by judiciously operating pumps, so as to optimize benefits of 'Time of Day' Tariff.
8. (i) Take initiative to partner with other government bodies and civic agencies to develop and implement rain water harvesting from DMRC structures.  
(ii) Arrange potable water in partnership with Govt./NGOs/PSUs/Private agencies at Metro Stations progressively

DMRC shall comply with all local and national legislation related to water and look for opportunities to fulfill the above objectives.

मंगु सिंह

Mangu Singh  
Managing Director

22<sup>nd</sup> March, 2016  
World Water Day  
New Delhi



## DELHI METRO RAIL CORPORATION LIMITED दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड

### अपशिष्ट प्रबंधन नीति

“अपशिष्ट से सम्पत्ति”

डीएमआरसी आज के अपशिष्ट को  
मविष्य का कच्चा माल समझती है।

#### द्योग

- डीएमआरसी में सर्वत्र अपशिष्ट उत्पादन का आकलन करना और उसे न्यूनतम करना।
- अपशिष्ट का पुनः उपयोग/पुनः चकित करना।
- पर्यावरण कानूनों का पूर्ण अनुपालन करते हुए परिचालन करना।

#### उद्देश्य

- गौजदा और प्रत्येक वर्ष उद्भूत होने वाले अपशिष्ट की पहचान करना। ऐसे उपाय करना जिससे अगले तीन वर्षों के दौरान अपशिष्ट के उत्पादन में प्रति वर्ष 5% की कमी हो।
- पुनः उपयोग—ऐसी प्रक्रिया अपनाना जिससे इसे दूसरी बार पुनः उपयोग लायक सामग्री/उपकरण तक पहुंचाया जा सके जिसकी अभी जरूरत नहीं है और बदलाव की अपेक्षा मरम्मत को प्राथमिकता देना।
- पुनः चकित करना – अपशिष्ट को पुनःचकित करने की सुविधा के लिए इसे निर्धारित कंटेनरों में अलग-अलग करना। अगले 3 वर्षों में 30% अपशिष्ट को पुनः चकित करने का लक्ष्य निर्धारित करना।
- पर्यावरण संरक्षण कानून के अनुसार खतरनाक और इलेक्ट्रॉनिक अपशिष्ट को निपटाना।

#### कार्यान्वयन

उपर्युक्त उद्देश्यों को पूरा करने के लिए, यह सुनिश्चित किया जाएगा कि:

- निर्माण सम्बन्धित मलबे को जमीन में भरने की अपेक्षा अपशिष्ट प्रक्रमण में भेजना।
- कागज की रद्दी/पैकिंग लकड़ी आदि का पुनः संसाधित किया जाएगा और उस उत्पाद का डीएमआरसी द्वारा पुनः उपयोग किया जाएगा।
- इस नीति के संबंध में डीएमआरसी कर्मचारियों और इसके हित धारकों के बीच जागरूकता पैदा करना।
- रद्दी निपटान की एक नीति तैयार की जाएगी जिसमें रद्दी को अलग-अलग किया जाएगा और उसके किसी अवशिष्ट आर्थिक उपयोग का पूर्णतया दोहन करने के बाद ही उसे बेचा जाएगा।
- क्रम विभाग पुनःउपयोग लायक और पुनः चकित सामग्री को जहां तक संभव एवं उपयुक्त हो खरीदने का प्रयास करेगा।

दिल्ली मेट्रो इस अपशिष्ट प्रबंधन नीति के उद्देश्यों को लागू करने के लिए नए और बेहतर तरीकों की संभावनाओं की तलाश के लिए सदैव उत्सुक रहेगी।

मंगू सिंह  
प्रबंध निदेशक  
1 फरवरी, 2014  
नई दिल्ली



### WASTE MANAGEMENT POLICY

“Waste to Wealth”

DMRC considers today's waste as  
tomorrow's raw material.

#### AIM

- To assess and minimize waste generation throughout DMRC.
- To re-utilize/ recycle the waste.
- To operate in full compliance with applicable environment laws.

#### OBJECTIVES

- Identify the waste at hand and waste being generated every year. Take measures that will result in reduction of waste generated by 5% p.a. for the next three years.
- Reuse - Adopt procedure to pass on to others, reusable material/equipment no longer required; and repair in preference to replace.
- Re-cycle – Segregate waste in identified containers to facilitate recycling. Target to recycle 30% of waste in next 3 years.
- Dispose off hazardous waste and e-waste as per extant law.

#### IMPLEMENTATION

In order to meet the above objectives, it shall be ensured that:

- All Construction and Demolition waste is sent to a waste processing facility rather than the landfills.
- Paper waste /packing wood etc is reprocessed and the product is reused by DMRC.
- Awareness about this Policy is created amongst DMRC employees and its stakeholders.
- A scrap disposal policy is formulated in which scrap is segregated and disposed off only after fully extracting any residual economic worth.
- The buying department will seek to purchase reusable and recycled material wherever possible and appropriate.

Delhi Metro will always be eager to explore new and better ways to implement the objectives of its Waste Management Policy.

Mangu Singh  
Managing Director

1st February, 2014  
New Delhi



## DELHI METRO RAIL CORPORATION LIMITED दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड

### गुणवत्ता नीति

दिल्ली मेट्रो रेल कॉर्पोरेशन 'गुणवत्ता प्रबंधन प्रणाली' को कार्यान्वित करने और अपने कर्मचारियों, ठेकेदारों, आपूर्तिकर्ताओं, दैनिक यात्रियों और अन्य पणधारियों की भागीदारी सुनिश्चित करके संगठन में इसकी प्रभावकारिता में निरंतर सुधार लाने के लिए पूर्णतया वचनबद्ध है।

तदनुसार, अपने कार्यकलापों के अनुसरण में, संगठन यह सुनिश्चित करेगा कि इसकी सभी गतिविधियां समूचे संगठन में आईएसओ 9001:2008 (क्यू एम एस) की अपेक्षाएं पूरी हों। इस प्रयास में, डीएमआरसी निम्न प्रयत्न करेगी:

- सेवा की गुणवत्ता और ग्राहकों के प्रति जवाबदेही के संबंध में भारत में मेट्रो ट्रेन परिचालकों में नम्बर एक की स्थिति बनाए रखना।
- संनिर्माण और अवस्थापनाओं की गुणवत्ता में सुधार लाने के लिए काम करने के प्रत्येक चरण पर बेहतर मानक और पद्धतियां अपनाना।
- सेवा की गुणवत्ता में सुधार लाने के लिए प्रत्येक अनुसूचण गतिविधि में सर्वोत्तम उपलब्ध पद्धतियां अपनाना।
- डीएमआरसी की सेवाओं का राष्ट्रीय और अंतर्राष्ट्रीय मानकों के साथ बेंच मार्क बनाकर गुणवत्ता में निरंतर सुधार लाना।
- संगठन के कार्यान्वयन के संबंध में प्रतिक्रिया जानने के लिए निगमित/वार्षिक ग्राहक संतुष्टि सर्वेक्षण की व्यवस्था कर 'ग्राहक सुख' के लिए अपनी वचनबद्धता प्रदर्शित करना।
- सभी प्रक्रियाओं में और सभी स्तरों पर संस्था, स्वास्थ्य और पर्यावरण के साथ गुणवत्ता को प्रोत्साहन देना और सुनिश्चित करना कि इन्हें कार्यान्वयन का अधिकतम भाग बना लिया जाता है।
- डीएमआरसी पर लागू गुणवत्ता से संबंधित सभी प्रयोज्य कानूनों और विधिक अपेक्षाओं का अनुपालन सुनिश्चित करना।
- यह सुनिश्चित करना कि संसाधनों का कारगर उपयोग किया जाता है और सेवा गुणवत्ता को प्रभावित करने वाली किसी गतिविधि में शामिल लोग पर्याप्त रूप से अर्हता प्राप्त और प्रशिक्षित हों।
- प्रशिक्षण, जागरूकता और नित्य क्षमता विकास के माध्यम से अपनी गुणवत्ता प्रबंधन प्रणाली के कार्यान्वयन में 'परियोजना' तथा 'परिचालन और अनुसूचण' विभाग के सभी संबंध व्यक्तियों का सहयोग, उनकी भागीदारी और प्रोत्साहन सुनिश्चित करना।

सामान्य रूप से गुणवत्ता नीति और विशेष रूप से गुणवत्ता के प्रति प्रबंधन की वचनबद्धता के संबंध में सभी कर्मचारियों को जागरूक बनाना और अपनी निरंतर सक्रिय भागीदारी से गुणवत्ता प्रबंधन प्रणाली के लिए अपना निजी समर्थन व्यक्त करने के लिए प्रोत्साहित करना।

मंगू सिंह

मंगू सिंह  
प्रबंध निदेशक

तिथि : 11 जुलाई 2014  
स्थान : नई दिल्ली

### QUALITY POLICY

Delhi Metro Rail Corporation (DMRC) is fully committed to implementing 'Quality Management System' and to continually improve its effectiveness in the organization by ensuring involvement of its employees, contractors, suppliers commuters and all other stakeholders.

Accordingly, in pursuance to its activities, the organization will ensure that ISO 9001:2008 QMS requirements, in all its activities are met organization wide.

In this endeavour, DMRC shall strive to:

- Sustain number one position amongst metro train operators in India with regard to quality of service and responsiveness to customers.
- Adopt better standards & practices at each stage of working to improve quality of construction & installations.
- Adopt best available practices in every maintenance activity to improve quality of service.
- Improve quality on continual basis by bench marking the services of DMRC with national and international standards.
- Demonstrate its commitment towards 'customer delight' by arranging regular/annual customer satisfaction surveys to get a feedback on organization's performance.
- Encourage quality with Safety, Health and Environment in all processes and at all levels and ensure that these are made integral part of implementation.
- Ensure compliance to all applicable laws and legal requirements related to quality applicable to DMRC.
- Ensure that resources are used effectively and people involved in any activity that may affect service quality are adequately qualified and trained.
- Ensure participation, involvement and motivation of all associated persons of 'project' and 'operation & maintenance' wings in implementation of our Quality Management systems through training, awareness and continual competence building.

All employees to be made aware of the Quality policy in general and commitment of Management to Quality in particular and be encouraged to demonstrate their own support to the Quality Management System by their continuous active participation.

मंगू सिंह

Mangu Singh  
Managing Director

11th July 2014  
New Delhi





## DELHI METRO RAIL CORPORATION LIMITED दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड

### सौर्य नीति

दिल्ली मेट्रो रेल कॉर्पोरेशन (डीएमआरसी), राष्ट्रीय सौर्य मिशन के उद्देश्यों को ध्यान में रखते हुए, पूरी तरह से लगातार स्थापित करने और ग्रीन हाउस गैस के उत्सर्जन और जलवायु परिवर्तन से संबंधित प्रभावों को कम करने के लिए सौर्य ऊर्जा का निरंतर उपयोग को बढ़ावा देने के लिए प्रतिबद्ध है।

तदनुसार, पर्यावरण अनुकूल और स्वच्छ ऊर्जा को बढ़ावा देने की खोज में, संगठन के रूप में जहाँ तक संभव हो, अपनी सभी गतिविधियों में सौर्य ऊर्जा के उपयोग के लिए प्रोत्साहित रहेंगे।

डीएमआरसी का प्रयास रहेगा कि:

- अपनी ऊर्जा जरूरतों को पूरा करने और जीवाश्म ईंधन पर निर्भरता कम करने के लिए एक दीर्घकालिक स्थायी समाधान हो।
- अपने संगठन में कुल बिजली की खपत में नवीकरणीय ऊर्जा की हिस्सेदारी बढ़ाने के उद्देश्य से अगले तीन वर्षों में गैर कर्षण प्रयोजनों के लिए 20 मेगावाट सौर्य ऊर्जा का उत्पादन हो।
- एक उपयुक्त निवेश माहौल बने जिससे क्लीन डेवलपमेंट मैकेनिज्म (सीडीएम) और अक्षय ऊर्जा प्रमाणपत्र (आरईसी) का लाभ उठाया जा सके।

यह सौर्य नीति, संगठन के ऊर्जा प्रबंधन नीति के साथ संयोजन के रूप में पढ़ी जाएगी। डीएमआरसी सौर्य ऊर्जा से संबंधित सभी स्थानीय और राष्ट्रीय कानून का पालन करेगी।

मंगू सिंह

प्रबंध निदेशक

तिथि : 16 जुलाई 2014

स्थान : नई दिल्ली

### SOLAR POLICY

Delhi Metro Rail Corporation (DMRC), in keeping with the objectives of National Solar Mission, is fully committed to proactively establishing and promoting sustained use of Solar Energy to reduce green house gas emissions and related impacts of climate change.

Accordingly, in pursuit of promoting green and clean power, the organization will encourage the use of Solar Energy in all its activities, as far as possible.

DMRC shall strive to:

- Seek a long term sustainable solution to meet its energy needs and reduce dependency on fossil fuels.
- Increase the share of renewable energy in its overall power consumption, in-house, by generating 20 MW of solar power for non-traction purposes, in next three years.
- Put in place an appropriate investment climate, that could leverage the Clean Development Mechanism (CDM) and Renewable Energy Certificate (REC).

This policy shall be read in conjunction with the organization's Energy Management Policy. DMRC shall comply with all local and national legislation related to solar energy.

मंगू सिंह

Mangu Singh  
Managing Director

16th July 2014  
New Delhi





# दिल्ली मेट्रो रेल कॉर्पोरेशन लिमिटेड Delhi Metro Rail Corporation Limited

## उद्देश्य कथन

### (प्रशिक्षण संस्थान)

निगम की संस्कृति: डी.एम.बार.सी. एक ज्ञानोपार्जक संगठन है और यह कार्यक्षेत्र में हर संभव सुधार के लिए प्रयासरत रहेगा।

## MISSION STATEMENT

### (Training Institute)

Corporate Culture DMRC is a Learning Organization and it will strive to Improve in whatever it does'

## उद्देश्य

- संपूर्ण समुदाय में जिसमें यह सेवारत है के मध्य अधिमान्य पूर्ण प्रशिक्षण समाधान प्रदाता बनना।
- मानव संसाधन एवं उचित सुविधाओं के गठन के द्वारा व्यक्तिगत तथा संगठनात्मक ज्ञानोपार्जन के माध्यम से क्षमता निर्माण के लिए अनुकूल वातावरण को प्रोत्साहित करना।
- नवीनतम प्रौद्योगिकी से परिचित तथा कार्यसाधक वातावरण बनाए रखते हुए विभिन्न कार्य प्रालेख हेतु क्षमता विकसित करना एवं कार्यसाधकता बढ़ाने के लिए प्रशिक्षण प्रक्रिया को नियंत्रित तथा सुसंगत बनाना।
- प्रशिक्षुओं में व्यावसायिकता और संगठनात्मक संस्कृति के सार के मनोगत को सुनिश्चित करना जिससे व्यवसाय नैतिक मानकों के अनुसार संचालित किया जाए।

## MISSION

- To be the most preferred 'total training solution' provider throughout the community it serves.
- To promote conducive environment for capacity building through individual and organisational learning by building right facilities' and human resources.
- To harmonize and control training processes to develop competence for various job profiles, enhance effectiveness, by keeping abreast of the latest development of technology and working environment.
- To include essence of professionalism and organisational culture amongst trainees to ensure that business is conducted in accordance with the ethical standards.

स्थान: नई दिल्ली  
दिनांक : 26.06.2013

मंगू सिंह  
प्रबंध निदेशक

Place: New Delhi  
Date: 26.06.2013

Mangu Singh  
Managing Director



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Vinay Shankar, Former Secretary to Govt. of India  
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Vivek Kumar Agnihotri, Former Secretary General, Rajya Sabha

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