



भारतीय राष्ट्रीय राजमार्ग प्राधिकरण

(सड़क परिवहन और राजमार्ग मंत्रालय)

National Highways Authority of India

(Ministry of Road Transport & Highways)

G-5 & 6, Sector-10, Dwarka, New Delhi-110045

Phone : 91-11-25074100/25074

Fax : 91-11-25093507/25093

Extn. : 2223/2318/2468/25

No: NO:NHAI/13013/3/02-03/CMD-CO/ Toll

2.6.2003

CIRCULAR NO: NHAI/COMMERCIAL OPERATION/20

SUB: RESPONSIBILITY REGARDING DEPOSIT/ RECEIPT AND COLLECTION OF FEE (TOLL) UNDER SYSTEM OF DEPARTMENTAL COLLECTION OR THROUGH FRANCHISEE.

As you are aware, fee (toll) is levied and collected by NHAI on behalf of Central Government, through various systems of collection like departmental collection through ex-servicemen, long term O&M contractor, Short term O&M contractor and collection through franchisee. Since the system involves collection of significant amount of cash throughout the day **especially in case of departmental collection**, there is a need to introduce such systems and controls as to ensure that **there is no** (a) overcharging from users, (b) exemption to vehicles which are not eligible, (c) difference between the amount collected by the collecting agency and deposited in the bank (d) delay in depositing the amount collected and (e) delay in taking strict action against defaulting collecting agency/ party as per contractual obligation if they fail to deposit/remit the amount as required. Lack of adequate control/supervision and timely action may adversely affect the interest of the Authority.

Following instructions are issued for strict compliance as may be applicable in a **particular system of collection**, subject to strict compliance with the terms of the contract/agreement entered into by NHAI with collecting agency.

1. It will be responsibility of the Project Director to ensure that a Statement (referred as daily statement) confirming daily collection on a particular day (from 00.00 hours to 24.00 hours i.e. midnight as a uniform practice) and amount deposited in the bank on a particular day is received in the PIU/CMU on daily basis preferably along with original pay-in slip. To ensure checking about authenticity and correctness of amount recorded in the pay-in slips, the bank statement must be obtained in the PIU/CMU on weekly basis. There should be no difference in amount collected and deposited.
2. It has been observed that sometimes, booth operators claim shortages as compared to the value of tickets sold. NHAI will not be concerned for omission of the booth operators. Collecting agency, in case of departmental fee collection of fee, shall be responsible for depositing the exact amount to NHAI as per the value of the tickets sold.

Contd. 2/-

However, any excess found will have to be deposited in the Account of NHAI. Such excess, prima facie, will be treated as a result of charging the user without issuance of the ticket warranting serious action and checking of control in this regard.

3. A Monthly Toll Collection & Deposit report shall be sent by the PIU/CMU alongwith a monthly bank statement to the Head Office by 3rd of the following month in case of departmental collection of fee and by 6th in case of collection through franchisee.
4. Where the fee collection is through franchisee, receipt of amount as per contractual terms on due date, must be ensured and immediately on the first failure noticed, strict action be initiated as per the contractual terms. Only bank draft/pay orders should be accepted.
5. It has been observed that sometimes, collecting agencies retain a portion of amount collected to meet the requirement of providing change to users. No retention by the collecting agency for the purpose should be permitted.
6. Under no circumstances, cheques will be received against levy of fees either on daily ticket or against monthly passes. Even for issuance of monthly passes for buses operated by State Transport Corporations working under State Government, pay order / demand draft only will be accepted.
7. There will be comprehensive insurance to cover following risks (a) cash in transit considering the maximum amount on each transit as well as annual volume as per previous experience and as per trend expected (b) cash in safe including in booths, at a given point of time and also annual volume should be correctly worked out {c} Fidelity insurance for each booth operator for expected maximum collection in a shift as it is expected that each operator would render his collection immediately after the shift is over. Such insurance should be for sufficient amount so as not to leave the amount (whether in safe or in booth or in transit) uncovered at any given point of time. While declaring maximum limit of daily cash in safe or in transit, special attention is required to be given for such plazas where the collection of a particular working day and a holiday/s, accumulate for lacking of banking arrangement on a holiday/s, which result into higher accumulations than one day's collection. Cost of the insurance will be borne as per contractual arrangement.
8. In the whole process of monitoring, the consultant, if any, be asked to perform the role as per his contractual arrangement with NHAI but without placing absolute reliance on him and reducing our own /direct supervision to the extent possible.

Contd...3/-

9. In addition to normal security arrangement at Plaza Office or at booths, there should be adequate arrangement of security while the cash is in transit.
10. There should be adequate control over the custody of unused tickets and counterfoils, if any, of used manual tickets. All tickets and passes including computerized tickets, shall necessarily have preprinted continuous serial number in its unused condition itself. Such tickets should be under direct custody of NHAI and/or consultant. There storage will be in such a systematic manner which permit random and easy verification at any point of time. All surprise check will necessarily involve checking of used and unused tickets and their related records
11. Vehicle number must be printed on all tickets.
12. Any instance of short deposit vis-à-vis collection, should be dealt severely and promptly acted upon. Necessary action be initiated against the defaulting party/persons as per the terms of contract entered into. No permission is required to initiate immediate legal action for the recovery as per contractual terms, except that an intimation be given to Head Office with adequate details and exercising all other rights under the Contract/agreement.
13. All records /registers will be checked periodically and must have column for proper initial of the person maintaining the same, and also for the officers of the consultant and NHAI to place their signature whenever they check the same.
14. Frequent surprise check by authorized persons are expected to ascertain whether there is any deficiency in the system and finding of such inspections need to be recorded in a register to be maintained at the Administrative office of the Plaza with a copy of finding to be retained at local office of NHAI for further action. Such report in general and without specific reason, should not be sent to Head Office.

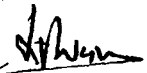
Following schedule is proposed for surprise checking of cash, ticket etc:

NAME OF THE OFFICER	FREQUENCY OF CHECKING (MINIMUM)
HEAD OF THE PIU/CMU	ONCE IN A FORTNIGHT FOR EACH PLAZA
ANY OTHER EMPLOYEE OF PIU/CMU	ONCE IN A WEEK FOR EACH PLAZA

Contd... 4/-

15. While retaining ultimate control over the matter and being responsible for the overall affairs, Project Director may also allocate specific duties on above subject, by a written order, among his/her staff (with an officer being made a nodal officer for all toll related matter), in a manner so that there is no delay in receipt of toll collection and its deposit and there is clear accountability for various duties/jobs.
16. Special attention should be paid to the terms and conditions of the contract and also the legal provision including those relating to the Format of the Receipt to be issued for collection of fee under the National Highways Act, 1956, the National Highways Authority of India Act, 1988 and rules made there under.
17. Failure to ensure compliance with above instructions will be viewed seriously and will be treated as a serious lapse with consequential liability for further action.
18. If the terms of contract/agreement entered into, does not permit any of above activity, remedial action like amendment as per mutual agreement, be initiated.
19. Above instructions are general in nature and not comprehensive or exhaustive. These are intended to convert existing practices into a written instructions and are not meant to replace the system of internal audit or reduce the extent of checking by the Fee (Toll) Auditors.

This issues with the approval of the Chairman.


(M M Lohia)
General Manager (CO)

To,

All CMUs and PIUs
NHAI

Copy to:

1. PS to the Chairman
2. PS to Members
3. All CGMs/CVO/GMs
4. Hindi Officer
5. Librarian
6. Information Officer