

Standard Operating Procedure (SOP) for eFRM alerts Verification process

Introduction

This document provides a basic understanding of the verification process to be followed at field offices for the effective management of eFRM alerts at all levels. It outlines the operational procedures to be followed by designated end users at the field level, enabling them to conduct a thorough review of the alerts and achieve the objective of proactive vigilance.

It should be noted that the verification process described in this document is neither exhaustive nor exclusive. Verifying officers are encouraged to apply their own knowledge, experience, and appropriate methods, in addition to the procedures outlined herein, while carrying out the verification.

The operational procedure for utilizing the eFRM module in APT 2.0, processing the alerts, and understanding the alert workflow is detailed in the **Operational Guide on eFRM** issued by CEPT. The same may be referred to for guidance.

II. Overview of Alerts

The eFRM module is designed to generate alerts based on the scenarios and dynamic parameters approved by the Functional Divisions of the Directorate. and to assign such alerts to the respective Divisional Offices. The alerts are further classified as **"Operational"** and **"Vigilance"** based on the dynamic parameters prescribed by the Directorate from time to time.

Note: *The scenario /Type of alerts are subject to modification and new vigilance alerts will be included as per preventive vigilance framework. As on date total 19 Types of alerts are provisioned eFRM Module.*

III. Verification of eFRM Alerts & Roles and Responsibilities

Upon receipt of eFRM alerts, the designated authority/user at the **Divisional Office, Sub-Divisional Office, and Head Post Office** shall:

1. **Examine the alerts** in detail.
2. **Verify each alert** against:
 - Relevant records and documents,
 - System-generated reports, and
 - Any other supporting evidence / physical visit to office/unit,
3. **Record observations/comments** against each and every alert in a

systematic manner.

IV. Role of Divisional FRMU - On receipt of Alerts

The designated user at the Divisional Office shall examine each alert received through the eFRM module, assess its nature, severity, and relevance, and determine the appropriate course of action. Based on such assessment, the designated user shall assign the alert to the concerned Head Office or Sub-Divisional Office, as the case may be, for verification and further necessary follow-up.

Note: *The eFRM module does not permit users to assign “Vigilance alerts” to the Head Post Office.*

V. Role of Head Post office - On receipt of Alerts

The concerned Postmaster/Sr.PM/Deputy PM/Chief PM shall examine each alert received through the eFRM module from the Divisional Office and arrange for a detail verification of issue referred in alert with reference to the office records, registers, documents, system generated reports, etc. as suggested in annexure-I against relevant Alert type and shall arrive at the conclusion and record his/her remark/observation against each alert.

Scenario 1: On scrutiny of records/documents, if no discrepancy is noticed as stated in alert, then Postmaster can recommend for closure of alert by furnishing observation and comments against the alert in eFRM module.

Scenario 2: On scrutiny of records/documents, if any discrepancy noticed, further enquiry is considered necessary, then the Postmaster may recommend for further investigation of alert by furnishing observation and comments against the alert in eFRM module.

The Postmaster, shall complete the verification process within the timeline prescribed in **Annexure-I** and after recording his/her observations/comments, as the case may be, shall return the alert to Division office, through eFRM module.

VI. Role of Divisional FRMU - On receipt of comments from HO on the alerts

The designated user at the Divisional Office, upon receipt of the alert along with observations and comments from the Head Post office, shall carefully examine the completeness and relevance of the comments received. After ensuring that the comments/observations are satisfactory, the designated user shall arrive at a conclusion and take appropriate action.

Scenario 1: Alerts received with the comments as “**Genuine**”, shall be **closed** in eFRM by recording additional

comments.

Scenario 2: Alerts received with the comments as “**Further investigation needed**”, shall be further assigned to Sub Divisional office for necessary action, with suitable directions entered in the remark column.

VII. Role of Sub Divisional FRMU/ SDO: On receipt of alerts

All “**Vigilance**” alerts and those “Operational” alerts requiring further investigation, as reported by Head Post office, shall be received by the Sub Divisional Head through eFRM module, from Divisional Office.

The Sub-Divisional Head shall carry out verification of alerts with reference to relevant records and documents, as well as system-generated reports. Where necessary, the Sub-Divisional Head may visit the concerned office or unit, contact the customer, and utilize the services of the Mail Overseer to gather additional information.

The Sub-Divisional Head is expected to apply his/her own experience, knowledge, and methods during the verification process. After completing the review, the Sub-Divisional Head shall arrive at a reasoned conclusion and record his/her remarks, observations and comments against each alert.

Scenario 1: On scrutiny of records/documents, if no discrepancy is noticed as stated in the alert, then the SDH may recommend for closure of alert by furnishing observation and comments against the alert in eFRM module.

Scenario 2: On scrutiny of records/documents, if any discrepancy noticed, fraud, or loss is detected, then the SDH may recommend for marking of alert as “Reported Fraud” by furnishing observation and comments against the alert in eFRM module.

The Sub Divisional Head, shall complete the verification process within the timeline prescribed in **A n n e x u r e - I** and after recording his/her observations/comments, as the case may be, shall return the alert to Division office, through eFRM module.

VIII. Role of Divisional FRMU: On receipt of comments from the SDO on the alerts

The designated user at the Divisional Office, upon receipt of the alert along with observations and comments from the Sub Divisional Office, shall carefully examine the completeness and relevance of the comments received. After ensuring that the comments/observations are satisfactory, the designated user shall arrive at a conclusion and take appropriate action.

Scenario 1: Alerts received with the comments as

Genuine , shall be closed in eFRM by recording additional comments.

Scenario 2: Alerts received with the verification remarks indicating "**Reported Fraud**" shall be marked accordingly in the eFRM module. Thereafter, the Divisional Office shall initiate further necessary action and issue suitable instructions to the concerned Sub-Divisional Office to conduct a detailed probe into the case, ascertain the extent of loss, if any, caused to the Department, and undertake past work verification to identify any similar irregularities or fraudulent transactions.

Note: *In cases where the report submitted by the Sub-Divisional Head is found to be unsatisfactory, the Divisional Office may re-assign the alert to the Sub-Divisional Head for further detailed investigation and submission of a revised report.*

IX. Role of Divisional Office/Regional Office/ Circle Office(FRMU):

The Divisional Office should ensure that the FRMU alerts are assigned to the respective HO/SDO on the same day of receipt of alerts and that the alerts are examined and returned within the timelines fixed for each office. The verification remarks/response in respect of each alert received from the SDO/HO, should be analyzed to the satisfaction of the Divisional Office before closure of the alerts.

Quality Check: 10% of the Alerts closed as genuine should be randomly checked and reviewed on a **fortnightly basis** by the Divisional Office.

At Regional/Circle FRMU, the monitoring of alert disposal at Divisional levels are to be ensured on a **Monthly basis** and the reasons for pendency should be analyzed thoroughly. Further, the reported frauds if any, during the month, should be analyzed and the adequacy of action/investigation being taken by the Division should be ensured and cases of fraud detected if any, may be brought to the notice of Directorate.

Quality Check: 5% of the Alerts closed as genuine by the Divisions should be randomly checked and reviewed on a **monthly basis** by the Regional/Circle Office.

Further, the Regions/Circles may examine the MIS report of FRMU, duly collecting from CEPT, if required, regarding the (i) Offices by alert volume, (ii) Alert ageing and pending backlog analysis, (iii) Recurrent alert categories indicating systemic issues if any and take appropriate action.

Note : *All such alerts, where further information/details or investigations required from other Divisions/Units, shall be escalated with the respective Divisions/units through Regional/Circle Office.*

X. Timelines fixed for handling alerts

Timelines fixed for handling alerts at each level is as follows:

- i. Initial assignment of alerts by the Divisional FRMU: Same day before EOD***
- ii. Processing of alerts at HO level : 48 hours (2 days) from the date of receipt of alert***
- iii. Processing of alerts at SDO level: 72 hours (3 days) from the date of receipt of alert***
- iv. Final closure by Divisional FRMU: within 7 days of alert generation***

Procedure on verification of eFRM alerts is enclosed as Annexure-I.

Procedure for verification of eFRM alerts.

Annexure-I

Sl. No.	Alert Code / Alert Type	Description of Alert Type	Category of Alerts and Processed by-	Timeline Fixed	Process / documents to be verified
1	EXC_CASH (Excess Cash)	Retention of closing cash balance, beyond approved MAB by office/unit.	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall perform checks to ensure the correctness and justification for retaining excess cash and liabilities of the office, through the Daily Transaction Report, Daily Accounts of office, ECB memo copy, relevant system generated report based on the liability mentioned/stated, etc.
			Both Vigilance Alert & Operational Alert – by Sub Divisional Head	2-3 Days	
2	TRAN_ADJ (Transit Adjustment)	Abnormal delay, beyond the allowed transit period, in acknowledging the Cash remittances by	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall perform checks to ensure the correctness and the reasons for delay in adjustment through the Daily Transaction Report, Daily Accounts of office, Cash in Transit Report,
			Both Vigilance Alert & Operational	2-3 Days	

		the office/ unit.	Alert – by Sub Divisional Head		SO/BO summary, etc.
3	BANK_REM (Bank Remittance)	Multiple Bank Remittance transactions were performed on a particular day in a Post Office/Unit	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall perform checks to ensure the correctness and proper accounting of all Bank remittance transactions performed, through the Daily Transaction Report, Daily Accounts of office, Bank Passbook, Bank scroll/eView access report, SO summary report, etc.,
			Both Vigilance Alert & Operational Alert – by Sub Divisional Head	2-3 Days	
4	BANK_DRW (Bank drawings)	Multiple Bank Drawing transactions were performed on a particular day in a Post Office/Unit	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall perform checks to ensure the correctness and proper accounting of all Bank drawing transactions performed, through the Daily Transaction Report, Daily Accounts of office, Bank Passbook, Bank scroll/e-View access report, SO summary report, etc.,
			Both Vigilance Alert & Operational Alert – by Sub Divisional Head	2-3 Days	

5	COD_NONCOD_TXN (COD Transactions)	Handling of COD article as Non-COD causing Loss /Revenue leakage.	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall perform checks to ensure the correctness and proper accounting of COD amount (except in case of RTS articles) after delivery of article, into DoP Accounts and reason for handling of the article as non-COD in the office/unit, through the Daily Accounts of office, SO/BO
			Both Vigilance Alert & Operational Alert – by Sub Divisional Head	2-3 Days	

					summary report, mails reports, delivery manifest, relevant report, etc.
6	NO_BOOKING_INFO (Induction of Articles having no booking information)	Articles inserted into the mail stream without corresponding booking information in the system.	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall trace the article using Mail list, Receipt manifest records, system-generated reports in the DREAM App, the Complaint Portal, APT 2.0, and bag receipt records to ascertain whether the booking data is missing, delayed in the system, or indicative of revenue leakage, etc.,
			Both Vigilance Alert & Operational Alert – by Sub Divisional Head	2-3 Days	
7	NO_CLOSE_DESPATCH_EVENT (Induction of Bags not having the closing/dispatch events from previous office)	Mail bags inserted without a corresponding closing/dispatch event recorded at the originating or dispatching office. in the system.	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall cross-check the bag numbers against the dispatch/closing records of the originating office and the receiving office's bag-opening report. Documents to be referred are Mail List, Bag labels, Bag dispatch report, Dispatch register, etc.
			Both Vigilance Alert & Operational Alert – by Sub Divisional Head	2-3 Days	

8	BOOKED_LOCAL_DL_OUTSIDE (Article booked as Local and delivered outside catchment area)	Article booked under the 'Local' delivery category but delivered outside the office's local catchment/delivery area.	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall verify the booking address and delivery address against the office's defined catchment area and actual delivery records, Track & Trace history, to ascertain whether
			Both Vigilance Alert & Operational Alert – by Sub	2-3 Days	

			Divisional Head		the article is redirected outside of local delivery Jurisdiction or indicative of revenue leakage. Documents to be referred are Booking receipt, APT 2.0 reports, Booking journal, Track & Trace history, Delivery report, Address on article (If available).
9	BOOKING_WITHOUT_REVENUE (Sudden spike in booking volume without commensurate revenue)	Increased in booking of articles in a post office/unit which commensurate revenue/postage amount accounted in that office/unit.	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall perform checks to ensure the justification/reason for increase in booking volume without accounting of proportionate revenue/Postage amount into DoP Accounts, through Booking report, Counter Transactions Report, Physical article (if available), Stamps sales report, Franking details, Track & Trace Report, etc.
			Both Vigilance Alert & Operational Alert – by Sub Divisional Head	2-3 Days	
10	PRE_PAID_TXN (Pre-Paid Transactions)	Post office / unit is booking large number of articles as Postage Pre-Paid articles.	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall perform checks to ensure the justification for booking huge no of article as Postage Pre-paid, in the office/unit. Documents to be
			Both Vigilance Alert & Operational Alert – by	2-3 Days	

			Sub Divisional Head		referred are Booking report, Physical article (if available), Stamps sales report, Franking details, Track & Trace Report, etc.
11	POST_SERV_MAIL (Postal Service mail)	Post office / unit is booking more articles as Postal Service articles.	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall perform checks to ensure the correctness and reason for booking huge no. of Postal service articles, in the office/unit, through Booking report. Physical article (if available), From & To Address as per reports, Track & Trace report, etc.
			Both Vigilance Alert & Operational Alert – by Sub Divisional Head	2-3 Days	

12	LVS_NOT_TKN (Officials not availed leave)	Official / GDS not availed any kind of leave beyond certain period fixed by Dte.	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall perform checks to ensure the correctness and reason for not availing any kind of leave by an official/GDS and Date of last leave availed by the official/GDS. Documents to be referred are Attendance Register, Biometric Attendance logs, Absentee Statement
			Both Vigilance Alert & Operational Alert – by Sub Divisional Head	2-3 Days	

					report, PF file, Leave applications, etc.
13	SUB_AS_GDS (same Substitutes engaged in GDS vacancy)	An outsider has been engaged as substitute continuously for more than 3 months,	Operational Alert – by Postmaster, HO Both Vigilance Alert & Operational Alert – by Sub Divisional Head	1-2 Days 2-3 Days	The designated authority shall perform checks to ensure the reason for engaging an outsider as substitute for more than 3 months. Documents to be referred are Attendance Register, Biometric Attendance logs, Substitute wage payment bills, office Reports, Leave applications of GDS, GDS Vacancy report, etc.
14	BNK_DRW_CHQ_CAN (Cancellation of Bank Drawings cheque leaves)	Cancellation of Bank Cheques performed in a post office/unit through APT 2.0	Operational Alert – by Postmaster, HO Both Vigilance Alert & Operational Alert – by Sub Divisional Head	1-2 Days 2-3 Days	The designated authority shall perform checks to ensure reason for cancelling the Bank Cheque performed, through the Postmaster cheque book, cancelled Cheque leaf, Cheque cancellation report, Error entry Book, Treasurer cash book, etc.
			Operational Alert – by	1-2 Days	The designated authority shall

15	COUN_TXN_CANC (Cancellation of Counter Transaction)	Cancellation of Counter transactions performed in a post office/unit through APT 2.0	Postmaster, HO		perform checks to ensure reason for cancelling the
			Both Vigilance Alert & Operational Alert – by Sub Divisional Head	2-3 Days	Counter Transactions, through the Counter report through APT 2.0, Cancelled Transaction Report, Error Entry books, Submit Account Report, other relevant report w.r.t cancelled transactions.
16	TXN_ON_HDY	Transaction on Holidays	Vigilance Alert – by Sub Divisional Head	1-2 Days	The designated authority shall perform checks to ensure whether the transaction is with due approval of the Competent Authority. If not, investigation may be carried out for the transactions thus carried out.
17	PARCEL_BOOKING_ACCOUNTING	Parcel Booking in Postage/Stamp or Postal Service	Operational Alert – by Postmaster, HO	1-2 Days	The designated authority shall perform checks to ensure the justification/reason for parcel revenue realized through
			Both Vigilance Alert & Operational Alert – by	2-3 Days	Postage/stamp/postal service beyond the threshold defined for BOs and SOs

			Sub Divisional Head		
18	FRANCHISE_BOOKED_STAMPS	Postage stamps affixed booked by the franchise	Vigilance Alert – by Sub Divisional Head	1-2 Days	The designated authority to investigate the matter.

Note: The SDH may visit the office / customers / staff / GDS, outsider/Substitute, if required or obtain assistance of MO / other official for verification / physical-cross check and will record the result of verification.