TERMS OF REFERENCE FOR THE R&D PROJECT

1.0 TITLE: Study of Prevention and Control of Fraud and Corruption by an Organization

2.0 BACKGROUND:

2.1 Corruption refers to dishonest or unethical conduct by individuals or institutions in positions of power or authority, typically involving the misuse of public resources or the abuse of entrusted power for personal gain. It can manifest in various forms, such as bribery, embezzlement, nepotism, cronyism, fraud, and other forms of dishonest behaviour.

2.2 Efforts to combat corruption involve legal and institutional measures, as well as promoting transparency, accountability, and ethical behaviour in both the public and private sectors. International organizations, governments, and civil society groups often work together to develop and implement anti-corruption initiatives.

2.3 BIS has published a standard IS 15900: 2010 "Guidance on Prevention and Control of Fraud and Corruption by an organization". This standard provides guidance for prevention and control of fraud and corruption by an organization irrespective of its size, type, location or nature of activities.

2.4 This Standard is under review at BIS.

2.5 Due to promulgation of Prevention of Corruption Act, 2018 (POCA) different organisations including PSUs, private companies, Government organisations, etc. have initiated different process reforms in their working to ensure prevention and control of fraud and corruption. The project is envisaged to have a comprehensive review of this standard with respect to all their stakeholders. The study should also include the best practices being practiced in other countries.

3.0 OBJECTIVE:

3.1 To understand the aspirations and requirements of all stake holders and propose necessary amendment /revision to the existing Standard.

3.2 To provide a report with all relevant data, facts and analysis for revision of IS 15900:2010.

4.0 SCOPE:

4.1 To do extensive and thorough examination of the available literature on the topic, including but not restricted to the following and provide comprehensive analysis:

a) International standards in the field;
b) Research papers in the field;
c) Guidelines by any ministry/regulatory bodies;
d) Any studies being conducted by any other organization; and
e) Best practices followed in other countries to prevent fraud and control;
f) Any other sources;

4.2 Identification of stakeholders and interact with them. A survey through a structured questionnaire shall be carried out to ascertain the extent of awareness about the standard. The survey shall be carried out on the following aspects:

a) Challenges involved in organizations in non- implementation of this standard;
b) Identification of parameters that need to be amended or revised;
c) Identification of best practices followed by organizations to prevent fraud and corruption;
d) Identification of Gap Areas;
e) Interaction with/survey of different stakeholders.
f) Collection, collation, analysis and interpretation of data collected.
g) Recording and analysis of results.

4.3 Evaluate the impact of the implementation of IS 15900:2010 in different organizations in India, by visiting different organizations having Pan India presence and interacting about 4.2 above. At least 4 such organizations (Govt./Private/PSU) that have implemented IS/ISO 37001: 2016 shall be visited. The survey shall be in respect of IS 15900 even in organizations where IS 37001 is implemented. The outcome of survey should help in revision and implementation of IS 15900.

4.4 Study of available guidelines, Govt. Orders, memorandums and frameworks for preventive vigilance and control of fraud and corruption as issued by various agencies like CVC, CTE, etc.

5.0 RESEARCH METHODOLOGY:

Suggested methodology for the proposed R&D should be as follows:

5.1 Literature Review – Undertake literature review as per 4.1 and 4.4 and prepare report including comparative analysis and policy approach implemented by organizations to prevent fraud and control corruption.

5.2 Field Visit – It is expected to carry out field study in different types of organizations in the form of survey in line with 4.2 and 4.3 above. The proposer is expected to suggest field visit plan to BIS. Once the plan suggested by researcher is approved by BIS, it is expected by proposer to conduct those visits as per approved proposal.

5.3 Field survey and Data collection - Data collected through Questionnaire/ Feedback/ survey/ Brainstorming sessions shall form the part of the report.

5.4 Analysis and report preparation – The proposer shall prepare the report for BIS covering different aspects of scope supported by relevant data.

6.0 OUTLINE OF THE TASKS AND FINAL DELIVERABLES EXPECTED FROM THE PROPOSER:

6.1 Project report, in hard copy and digital formats, covering all aspects mentioned in scope. The report shall have specific recommendation on the scope of study.

6.2 Questionnaires, discussion, visit and survey reports to be appended with the project report.

7.0 TIMELINE AND METHOD OF PROGRESS REVIEW:

Timeline for the project is 4 months from the date of award of the project.

7.1 Stages for Review

7.1.1 Stage I: At the end of 1st month, project allottee shall prepare a comprehensive plan identifying the following:

a) Details of literature review carried out and summarized report;
b) Identification of different organizations, stakeholders, beneficiaries and regulators to be visited (see 4.3);
c) Information to be collected through interactions from the above-mentioned stakeholders and visits to be carried out. The format / information to be gathered should be shared with BIS.

BIS will evaluate the plan and provide feedback, if any.

7.1.2 Stage II: At the end of 3rd month, project allottee shall submit draft report with the following information:
a) Reports of visits carried out to different organizations;
b) Details of the data collected while interaction with different stakeholders; and
c) Analysis of data and correlation with the findings;
d) Inference drawn

BIS will evaluate the draft report and provide feedback/recommend changes, if required.

After 4 months, project allottee shall submit final project report incorporating recommendations/feedback and survey questionnaire to BIS

8.0 SUPPORT FROM BIS:

BIS will provide access to latest available editions of Indian standards and/ or international standards relevant to the project, on request.

9.0 NODAL OFFICER:

Mr. Rajiv Ranjan, Sc. C/Deputy Director, MSD, BIS, may be contacted at msd@bis.gov.in for any queries on the research project.