

No.005/VGL/031  
Government of India  
Central Vigilance Commission  
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Satarkta Bhawan, Block 'A',  
GPO Complex, INA,  
New Delhi- 110 023  
Dated the 23<sup>rd</sup> November 2007

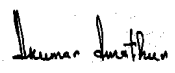
**Office Order No.40/11/07**

**Sub:- Reporting of cases in the monthly report of the CVOs, where sanction for prosecution is to be granted by the competent authority.**

The Hon'ble Supreme Court in Vineet Narain Vs Union of India case had directed that "time limit of three months for grant of sanction for prosecution must be strictly adhered to. However, additional time of one month may be allowed where consultation is required with the Attorney General (AG) or any Law Officer in the AG's office". It is observed that the time limit set by the Supreme Court is not being adhered to by the organizations concerned in many a cases.

2. The Commission had decided to modify para 4 of the monthly report and para 8 of the Annular Report to be submitted by the CVOs to the Commission to enable monitoring of delay in grant of sanction for prosecution. Copies of the modified format of para 4 of the Monthly Report and para 8 of Annual Report are enclosed. The complete and modified formats of the Monthly Report and Annual Report are available on the Commission's web-site i.e. <http://cvc.nic.in> in a downloadable forms.

3. All CVOs are directed to forward the data in the revised formats and the details pertaining to officers/officials of all category against whom sanction for prosecution is pending beyond the specified time limit may be attached alongwith the monthly/annual report as a separate annexure.

  
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(Vineet Mathur)  
Deputy Secretary

All Chief Vigilance Officers

## Monthly Report

Details regarding request for Prosecution sanctions received and disposed

Category	Opening Balance	Received during the month	Total	Sanction granted	Sanction Refused	Balance	Age wise pendency (Months)	
							<3	>3*
Gr-A								
Gr-B								
Gr-C								
Gr-D								

\* (details of cases pending for prosecution sanction beyond 3 months to be shown in annexure)

Sl.No.	Name & Designation of officer	Date of recommendation by Investigating Agency	Reason for pendency

## Annual Report

Details regarding request for Prosecution sanctions received and disposed

Category	Opening Balance	Received during the year	Total	Sanction granted	Sanction Refused	Balance	Age wise pendency (Months)	
							<3	>3*
Gr-A								
Gr-B								
Gr-C								
Gr-D								

\* (details of cases pending for prosecution sanction beyond 3 months to be shown in annexure)

Sl.No.	Name & Designation of officer	Date of recommendation by Investigating Agency	Reason for pendency

**MONTHLY REPORT OF THE CVO**

**ORGANISATION:**

**MONTH:**

**CVO Email ID:**

**PART A (TO BE GENERATED FROM DCM & MIS)**

1. COMPLAINTS (Nos)

Source	Opening Balance	Received during the month	Total	Disposed	Balance	Age wise Pendency(Months)			
						< 1	1-3	3-6	>6
CVC									
OTHERS									

2. ACTION ON THE CVC ADVICE (Nos)

Stage of Advice	Type of Proceedings	Opening Balance	Received during the month	Total	Disposed *	Balance	Age wise pendency(Months)			
							<1	1-3	3-6	>6
I	Major									
	Minor									
II	Major									

3. DEPARTMENTAL INQUIRIES (Nos)

a) UNDER THE CVC JURISDICTION \*\*

Opening Balance	Received during the month	Total	Disposed	Balance	Age wise Pendency(Months)			
					< 6	6-12	12-18	>18

b) OTHERS (Nos) \*\*\*

Opening Balance	Received during the month	Total	Disposed	Balance	Age wise Pendency(Months)			
					< 6	6-12	12-18	>18

4. PROSECUTION SANCTIONS

Category	Opening Balance	Received during the month	Total	Sanction granted	Sanction refused	Balance	Age wise Pendency (Months)	
							<3	>3*
Gr-A								
Gr-B								
Gr-C								
Gr-D								

\*(details of cases pending for prosecution sanction beyond 3 months to be shown in annexure)

S. No.	Name & Designation of officer	Date of recommendation by Investigating Agency	Reason for pendency

5. Age-wise data of disposed departmental proceedings (time taken to conclude the proceedings from the stage of registration of complaint till final disposal) (nos)

Nature of Proceedings	< 3 Months	3-6 Months	6 Months-1year	1-2 year	>2years
Major					
Minor					

6. QUALITATIVE PARAMETERS OF VIGILANCE ADMINISTRATION

a) MAJOR PENALTY PROCEEDINGS

No. of Cases	No. of officials against whom proceedings finalized (out of column 1)	Cut in pension (out of column 2)	Dismissal/ Removal/ Compulsory Retirement	Reduction in Lower time Scale/Rank	Other Major penalties	Minor Penalties other than Censure/ Warning	Censure/ Warning	No action

b) MINOR PENALTY PROCEEDINGS

No. of Cases	No. of officials against whom proceedings finalized	Reduction to lower stage	Postponement /Withholding of Increment	Recovery from pay	With holding of promotion	Censure/ Warning	No action

c) RANK-WISE BREAK UP OF PUNISHMENT AWARDED

Group	No. of Cases	No. of officials against whom proceedings finalized	Cut in pension	Dismissal/ Removal/ Compulsory Retirement	Reduction to lower time scale/ in Rank	Other Major penalties	Minor Penalties other than Censure/ Warning	Censure/ Warning	No action
(1) Group C									
(2) Group B									
(3) Group A up to DS/Dir level									
(4) JS and above									

Note : For Banks and PSUs corresponding row entries in (1), (2), (3) and (4) are explained in the end.

7. List of cases where major penalty imposed

Jurisdiction	Sl.No.	Case No.	Name(s) of Charged Officer(s)	Date of issue of Charge sheet	Date of final order	Punishment	Remarks
CVC							
Others							

**PART B**

(TO BE PREPARED BY THE CVO)

## 8.a) INVESTIGATION REPORTS SUBMITTED BY THE CVO W.R.T. ALL COMPLAINTS/AUDIT REPORTS INVESTIGATIONS OF WORKS ETC. (Nos)

Upto the end of previous month (from Jan.)	During the Month	Action Recommended on the cases of the Month*			
		Major	Minor	Others	Closure

\*This should include information provided on complaints in Col. 1.

## b) RANK WISE DETAILS ON ACTION RECOMMEND ABOVE

Rank	Action recommended (No. of officers)				
	Major	Minor	Others	Closure	Total
(1) Group C					
(2) Group B					
(3) Group A up to DS/Dir level					
(4) JS and above					
Total					

Note: For Banks and PSUs corresponding row entries in (1), (2), (3) and (4) are explained in the end.

**PREVENTIVE VIGILANCE**

## 9. INSPECTIONS CONDUCTED BY THE CVO (Nos) [CTE LIKE INSPECTIONS &amp; OTHERS]

Type	Upto the end of the previous month	During this month	No. resulting in Vig. Cases	Recovery effected (in Rs.)
Periodic				
Surprise				
Major Works				

## 10. SCRUTINY OF ANNUAL PROPERTY RETURNS

Total No. of APRs	No. scrutinsed up to the end of the previous month	No. scrutinized during the month	Balance	Comments

## 11. WHETHER FOLLOWING LIST PREPARED

- a) Agreed List
- b) List of Officers of Doubtful Integrity

## 12. OTHER ACTIVITIES

- a) Training Courses conducted in vigilance awareness
- b) Systems Improvement undertaken
- c) Extent of IT usage and the e-governance
- d) Job Rotation
- e) Whether QPR has been forwarded by CVO [Yes/No]
- f) Whether CTE type inspections conducted by CVO [Yes/No]

13. a) Whether tender put up on web-site [Yes/No]
- b) Whether details of tenders above threshold value are put on web-site subsequent to finalisation of tenders. (Attach details) [Yes/No]

14. REMARKS/COMMENTS ON VIGILANCE MATTERS OF THE ORGANISATION

PLACE:  
DATE

SIGNATURE OF THE CVO  
NAME OF THE CVO

Criteria of disposal-

- 1) Complaints- Either issue of charge sheet or final decision for closing or dropping the complaint.
- 2) \*Action taken in table 2:
  - a) Minor Penalty
    - i) I Stage - Issuing Final Orders
  - b) Major Penalty
    - i) I Stage – Appointment of IO/case dropped by DA
    - ii) II Stage-Issue of Final Orders.

\*\*Departmental inquiries under the CVC jurisdiction would include cases of Group ‘A’ Officers (Government organized services), Board Level Appointees and two levels below Board Level (PSUs) Scale V and above (PSBs and others) and composite cases where one of the Charged Officers is one of the above categories.

\*\*\*Departmental inquiries - others would include the cases of Group ‘B’ and ‘C’ categories not required to be referred to CVC.

With respect to column 6(c) and 8, the categories (1), (2), (3) and (4) are as follows for Banks & PSUs:-

Category	Banks	PSUs
(1)	Below Scale-III	May give the break-up as per their prevalent scale*
(2)	Scale-III & IV	
(3)	Scale-V and above	Two level below board level
(4)	Board level appointees	Board level appointees

- \* (1) relates to Junior Management  
(2) relates to Middle Management  
(3) relates to Senior Management



8. PROSECUTION SANCTIONS

Category	Opening Balance	Received during the year	Total	Sanction granted	Sanction refused	Balance	Age wise Pendency (Months)	
							<3	>3*
Gr-A								
Gr-B								
Gr-C								
Gr-D								

\*(details of cases pending for prosecution sanction beyond 3 months to be shown in an annexure)

S. No.	Name & Designation of officer	Date of recommendation by Investigating Agency	Reason for pendency

9. AGEWISE DATA OF DISPOSED DEPARTMENTAL PROCEEDINGS (time taken to conclude the proceedings from the stage of registration of complaint till final disposal) (Nos)

Nature of Proceedings	< 3 Months	3-6 Months	6 Months-1year	1-2 year	>2years
Major					
Minor					

10. QUALITATIVE PARAMETERS OF VIGILANCE ADMINISTRATION

a) MAJOR PENALTY PROCEEDINGS (Grouping penalty wise)

No. of Cases	No. of officials against whom proceedings finalized	Cut in pension	Dismissal/ Removal/ Compulsory Retirement	Reduction to Lower time Scale/ Rank	Other Major penalties	Minor Penalties other than Censure/ Warning	Censure / Warning	No action

b) MINOR PENALTY PROCEEDINGS (Grouping penalty wise)

No. of Cases	No. of officials against whom proceedings finalized	Reduction to lower stage	Postponement /Withholding of Increment	Recovery from pay	With holding of promotion	Censure/ Warning	No action

c) RANK WISE BREAK UP OF PUNISHMENT AWARDED

Group	No. of Cases	No. of officials against whom proceedings finalized	Cut in pension	Dismissal/ Removal/ Compulsory Retirement	Reduction to lower time scale / in Rank	Other Major penalties	Minor Penalties other than Censure/ Warning	Censure/ Warning	No action
(1) Group C									
(2) Group B									
(3) Group A up to DS/Dir level									
(4) JS and above									

Note : For Banks and PSUs corresponding row entries in (1), (2), (3) and (4) are explained in the end.

11. LIST OF CASES WHERE MAJOR PENALTY WAS IMPOSED

Jurisdiction	Sl.No.	Case No.	Name(s) of Charged Officer(s)	Date of issue of Charge sheet	Date of final order	Punishment	Remarks
CVC							
Others							

**PART III (TO BE PREPARED BY THE CVO)**

12.a) INVESTIGATION REPORTS SUBMITTED BY THE CVO W.R.T. ALL COMPLAINTS/AUDIT REPORTS/ INVESTIGATIONS OF WORKS ETC. (Nos)

Upto the end of previous year	During the Year	Action Recommended on the cases of the Year*			
		Major	Minor	Others	Closure

\*This should include information provided on complaints in Col.5.

b) RANK WISE DETAILS ON ACTION RECOMMEND ABOVE

Rank	Action recommended (No. of officers)				
(1) Group C					
(2) Group B					
(3) Group A up to DS/Dir level					
(4) JS and above					
Total					

Note: For Banks and PSUs corresponding row entries in (1), (2), (3) and (4) are explained in the end.

13. INSPECTIONS CONDUCTED BY THE CVO (Nos) [CTE LIKE INSPECTIONS]

a) CONTRACTS AND MAJOR PURCHASES

Type	Up to the end of the previous year	During this year	No. resulting in Vig. Cases	Recovery effected (in Rs.)
Periodic				
Surprise				
Major Works				

b) OTHER THAN CONTRACTS AND MAJOR PURCHASES

Type	Up to the end of the previous year	During this year	No. resulting in Vig. Cases	Recovery effected (in Rs.)
Periodic				
Surprise				
Major Works				

14. CASES IN WHICH COMMISSION ADVICE HAS NOT BEEN COMPLIED WITH

Names of officers	IO's findings	CVC 2 <sup>nd</sup> Stage advice	Final Decision

15. ACTION TAKEN ON CTEs REPORT(IF ANY)

Names of works with date of inspection	No. of paras referred to CVO for action	No of paras in which action taken by CVOs	Paras settled by CTE	No. of paras referred for vigilance investigation with date	Paras pending for disposal	Recovery proposed by CTE	Recovery affected by dept

16. NATURE OF VIGILANCE ACTIVITY

Total No of Departmental Inquiries		No. of inquiries pertaining to core activities of the organization out of col 1		No. of inquiries pertaining to personnel matters out of col 1	
Major	Minor	Major	Minor	Major	Minor

17. ACTION ON APPOINTMENT OF CDIs AS IOs

Opening balance of pending appointment	Nominations received during the year	No. of appointment orders issued	Closing balance		
			<6 months	6m-1yr	>1year

18. DETAILS OF MISCONDUCTS WHERE MAJOR PENALTY WAS IMPOSED

- a) In respect of officers coming within the jurisdiction of CVC
- b) Others

Nature of misconduct	1 <sup>st</sup> stage advice of CVC	Findings of IO	2 <sup>nd</sup> stage advice of CVC	Nature of penalty imposed by disciplinary authority

This information is meant to see the consistency in nature of misconduct vis-à-vis penalty imposed by the DA.

PREVENTIVE VIGILANCE

19. SCRUTINY OF ANNUAL PROPERTY RETURNS

Total No. of APRs	No. scrutinsed upto the end of the previous month	No. scrutinized during the month	Balance	Comments

20. WHETHER FOLLOWING LIST PREPARED

- a) Agreed List
- b) List of Officers of Doubtful Integrity

21. OTHER ACTIVITIES

- a) Training Courses conducted in vigilance awareness
- b) Systems Improvement undertaken
- c) Extent of IT usage and the e-governance
- d) Job Rotation
- e) Whether QPR has been furnished by CVO [Yes/No]
- f) Whether CTE type inspections conducted by CVO [Yes/No]
- g) Amount of expenditure in gifts to public/Govt. servants in terms of CVC office order No. 60/9/04 dated 22.9.2004.

22. a) Whether tender put up web-site [Yes/No]  
 b) Whether details of tender about threshold value are put on web-site subsequent to finalisation of tenders. [Yes/No]
23. Has computerised file tracking system been introduced.
24. No. of cases in which deptl. Action initiated/punishment awarded for causing delays.
25. Any systems designed to ensure that principle of first come first serve in dealings with public/ others stake holders is followed.
26. No. of cases in which deptl. Action initiated/ punishment awarded for violating sequential approach.
27. Any steps taken to increase transparency in dealing with public /other stake holders.
28. Systems improvement recommended to reduce opportunities for corruption.
29. Remarks/comments on vigilance matters of the organization.

Place  
Date

SIGNATURE OF THE CVO  
(NAME OF THE CVO)

Criteria of disposal-

- 1) Complaints- Either issue of charge sheet or final decision for closing or dropping the complaint.
- 2) \*Action taken in Table-2:
- a) Minor Penalty  
1<sup>st</sup> Stage- Issuing Final Orders
- b) Major Penalty  
i) I Stage – Appointment of IO/case dropped by DA  
ii) II Stage – Issue of Final Orders

\*\*Departmental inquiries under the CVC jurisdiction would include cases of Group ‘A’ Officers (Government organized services), Board Level Appointees and two levels below Board Level (PSUs) Scale V and above (PSBs and others) and composite cases where one of the Charged Officers is one of the above categories.

\*\*\*Departmental inquiries - others would include the cases of Group ‘B’ and ‘C’ categories not required to be referred to CVC.

With respect to column 10(c) and 12(b), the categories (1), (2), (3) and (4) are as follows for Banks & PSUs:-

Category	Banks	PSUs
(1)	Below Scale-III	May give the break-up as per their prevalent scale*
(2)	Scale-III & IV	
(3)	Scale-V and above	Two level below board level
(4)	Board level appointees	Board level appointees

- \* (1) relates to Junior Management  
 (2) relates to Middle Management  
 (3) relates to Senior Management