

No.004/VGL/50
Government of India
Central Vigilance Commission

Satarkta Bhawan, Block 'A',
GPO Complex, I.N.A.,
New Delhi-110 023
Dated the 13th August 2004

Office Order No. 53/8/04

To

CVOs of all public sector banks

Sub: Proforma for Vigilance Audit for Banking Sector.

A copy of the Proforma for Vigilance Audit for Banking Sector is enclosed for reference and use.

Sd/-
(Anjana Dube)
Deputy Secretary

**ANNUAL VIGILANCE REPORT OF _____
FOR THE PERIOD _____ to _____**

PART- I

ORGANISATIONAL PROFILE

1. NAME OF THE ORGANISATION / DEPARTMENT

2. NO. OF EMPLOYEES

(a) Group 'A' or equivalent and above :

(b) Others :

3. NATURE OF IMPORTANT ACTIVITIES CARRIED OUT :

3(A) WHETHER THE ORGANISATION HAS EXTENSIVE PUBLIC DEALING: YES/NO

4. VIGILANCE SET UP

(a) Whether the CVO is full time or part time:

(b) No. of gazetted/executive level in the :
Vigilance Wing

(c) No. of other officials in the :
Vigilance Wing

5. WHETHER THE INTERNAL ADVISORY COMMITTEE OF GMs AS PER THE INSTRUCTIONS OF THE COMMISSION CONSTITUTED.

YES / NO

(i) If yes –

(a) No. of complaints / cases referred to the Committee

(b) No. of cases [out of (a)] in which vigilance angle was determined by the Committee

(c) Action taken

Filed	Taken for Investigation	Referred to CBI

(ii) If No, the reasons therefor may be clearly spelled out.

PART-II

FOLLOW UP REGARDING MATTERS REFERRED BY THE CVC

[For the period from _____ to _____]

6. COMPLAINTS RECEIVED FROM CVC

Opening Balance of compl. received	Received during the period of review	No. of Complaints received under 'Whistle Blower' category [out of Col.(ii)]	Action Taken					Closing Balance (pending for)			
			General Category Complaints			Whistle Blower Category		1 mt.	1-3 mts.	3-6 mts.	over 6 mt.
			Filed	Taken for Inv.	Ref. to CBI	Taken for Inv.	Ref. to CBI				
(i)	(ii)	(iii)						(v)	(vi)	(vii)	(viii)

7. ACTION ON CVC ADVICE

Stage Type	Opening Balance	Received during the period of review	Action taken Maj.-IO appointed Min.- Final Order issued	Closing Balance (pending for)			
				1mt.	1-3 mt.	3-6 mt.	over 6mt.
I Major Minor							
II Major Minor							

8. ACTION REGARDING FURTHER INFORMATION (FIs) REFERRED BY CVC

Opening Balance	Received during the period of review	Disposal	Closing Balance (pending for)			
			Upto 6 mt.	6mt.- 1yr.	Over 1 yr.	Reasons for delay

9. ACTION REGARDING COMMENTS CALLED FOR BY THE COMMISSION ON CBI REPORTS ETC.

Opening Balance	Received during the period of review	Disposal	Closing Balance (pending for)			
			Upto 6 mt.	6mt.- 1yr.	Over 1 yr.	Reasons for delay

10. ACTION REGARDING APPOINTMENT OF CDIs AS IOs

Opening Balance of nominations pending for appointment	Nominations received during the period of review	No. of appointment orders issued	Closing Balance (pending for)		
			Upto 6mt.	6mt.-1yr.	over 1 yr.

11. DEPARTMENTAL INQUIRIES BY CDIs

Opening Balance of IO's reports pending	No. of reports received during the period of review	No. of reports on which, CVC's 2 nd stage advice sought	Closing Balance (pending for)		
			Upto 6mts.	6 mts. - 1yr.	over 1 yr.

12. RESULTS OF INQUIRIES BY CDIs

Total No. of officials against whom inquiries disposed of during the period	No. to whom major penalty awarded	No. to whom minor penalty awarded other than censure/ warning	No. to whom censure/ warning awarded	No. against whom no action taken

13. TIME TAKEN TO CONCLUDE DEPTL. INQUIRIES [from the stage of registration of a complaint till final disposal by D.A.] *

	Less than 3 mts.	3 – 6 mts.	6 mts. – 1yr	1yr. – 2 yr.	Over 2 yrs.
Minor					
Major					

* All Scales

14. SANCTION FOR PROSECUTION

Opening Balance of cases pending	Number of cases where sanction conveyed	Disposal	Closing Balance (pending for)		
			Upto 6 mts.	6 mts. – 1yr.	Over 1 yr.

15. CASES IN WHICH COMMISSION'S ADVICE HAVE NOT BEEN COMPLIED WITH.

Names of officer(s)	IO's findings	CVC's 2 nd stage advice	Final decision DA's / Appellate

16. ACTION TAKEN ON CTES REPORT (IF ANY)

Names of work	No. of paras referred to CVO for action	No. of paras in which action taken by CVOs	Paras settled by CTE	Paras pending for disposal	Recovery proposed by CTE	Recoveries affected by deptt.

REVIEW OF OTHER VIGILANCE WORK

[For the period from _____ to _____]

17. COMPLAINTS [other than from CVC]

Opening Balance of complaints	Received during the period of review	No. of complaints on which action taken	Closing Balance (pending for)			
			1 mt.	1-3 mt.	3-6mt.	over 6mt.

18. INVESTIGATION REPORTS SUBMITTED BY THE CVO (Nos.)*

No. of reports submitted		Action Recommended			
In the previous year	During the period under review	Major	Minor	Others	Closure

* Including the complaints referred by the Commission

19. STAFF ACCOUNTABILITY IN NPA ACCOUNTS

(i)	(ii)	(iii)	(iv)
No. of accounts (over Rs.50 lakhs) became NPA during a year	No. of cases in which staff accountability was examined [out of Col.(i)]	No. of cases in which disc. Action taken in consultation with CVO / Commission [out of Col.(ii)]	No. of cases in which no action was taken [out of Col.(ii)]

20. DEPARTMENTAL INQUIRES BY OWN IOs

Officers falling within the jurisdiction of	Opening Balance of inquiries of pending	Received during the period of review	No. of cases in which final action taken	Closing Balance (pending for)			
				Upto 6 mts.	6 mts. - 1yr.	1 – 2 years	Over 1year
CVC							
Bank							

21. NATURE OF VIGILANCE ACTIVITY

1		2		3	
Total No. of departmental inquiries initiated		No. of inquiries pertaining to core activities of the organisation out of Col.1		No. of inquiries pertaining to personnel matters out of Col.1	
Major	Minor	Major	Minor	Major	Minor

* **Note:** Allegations pertaining to personnel matters mean false claims of TA, DA, medical, LTC, submission of false caste, educational certificates etc. Allegations with regard to core activities means allegations pertaining to tenders, procurement, release of credit facilities by banks, undue favours in assessment by revenue officials etc. The list is only illustrative and would depend on the core activities of each organisation.

PART-III

QUALITATIVE PENALTIES OF VIGILANCE ADMINISTRATION

22. MAJOR PP

1	2	3	4	5	6	7
Total No. of officials against whom proceedings were finalised	Dismissal/ Removal [out of Col. 1]	Reduction in Rank [out of Col. 1]	Other Major penalties awarded [out of Col. 1]	Postponement of increment [out of Col. 1]	Censure/ Warning [out of Col. 1]	No Action [out of Col. 1]

23. MINOR PP

1	2	3	4	5	6	7
Total No. of officials against whom proceedings were finalised	Withholding of promotion [out of Col. 1]	Recovery of loss [out of Col. 1]	Reduction to a lower stage [out of Col. 1]	Postponement of increment [out of Col. 1]	Censure/ Warning [out of Col. 1]	No Action [out of Col. 1]

24. RANK-WISE BREAK UP OF PUNISHMENT AWARDED

	Dismissal/ Removal	Reduction in Rank	Other Major penalties awarded	Postponement of increment	Censure/ Warning
Subordinate cadres (non-executive)					
Junior Management (Group B)					
Middle Management (Gr.A upto DS/Director)					
Senior Management (JS and above)					

* **Note:** The PSUs and other organisations may define junior, middle and senior management as per prevalent definitions in the organisations.

25. DETAILS OF CASES WHERE MAJOR PENALTY WAS IMPOSED

[For the period from _____ to _____]

A. In respect of officers who come within the jurisdiction of the Commission

B. Others

Source of complaint	Gist of the allegations in the complaint	Allegations included in the charge sheet	Charges proved in the inquiry	Advice of CVC/ CVO	Decision of the Disciplinary Authority

Note: In case the above information (Column 19) is already available in a different format, the same may be retained to avoid additional effort.

PREVENTIVE VIGILANCE

[For the period from _____ to _____]

PERSONNEL – CENTRIC

26. SCRUTINY OF APRs

Total No. of APRs	No. scrutinized this month	Balance	Comments

27. WHETHER FOLLOWING LISTS PREPARED

- Agreed List
- Officers of doubtful integrity

28. JOB ROTATION: Have the sensitive areas been identified and officials being rotated.

29(A). WHETHER PREVENTIVE VIGILANCE COMMITTEES AT BRANCHES / ADMINISTRATIVE OFFICES FORMED

(B) NO. OF MEETINGS HELD

**(C) NO. OF MEETINGS IN WHICH VIGILANCE FUNCTIONARIES
PARTICIPATED**

30. NO. OF TRAINING PROGRAMMES HELD ON PREVENTIVE VIGILANCE IN THE STAFF TRAINING COLLEGES

**31. WHETHER THE ABOVE MEASURES ARE PROVING USEFUL:
NO / SOMEWHAT / SIGNIFICANTLY**

SYSTEM CENTRIC

32. (A) WHETHER QPRS ARE BEING SENT REGULARLY AS PER THE INSTRUCTIONS OF THE COMMISSION.

(B) WHETHER ALL THE WORKS UNDERTAKEN ARE BEING REFLECTED IN THE RETURNS.

33. INSPECTIONS/EXAMINATIONS

	Upto last month	This month	No resulting in Vig. cases	Recovery effected (in Rs.)
Periodic				
Surprise				
Major Works				

34. CONTRACTS & MAJOR PURCHASES

	Upto last month	This month	No resulting in Vig. cases	Recovery effected (in Rs.)
Periodic				
Surprise				
Major Works				

35. HAS COMPUTERISED FILE TRACKING SYSTEM BEEN INTRODUCED TO IDENTIFY OFFICIALS DELAYING FILES

36. NO. OF CASES IN WHICH DEPARTMENTAL ACTION INITIATED/ PUNISHMENT AWARDED FOR CAUSING DELAYS

37. ANY SYSTEMS DESIGNED TO ENSURE THAT PRINCIPLE OF 'FIRST COME FIRST SERVE' IN DEALINGS WITH PUBLIC/ OTHER STAKE HOLDERS IS FOLLOWED

- 38. NO. OF CASES IN WHICH DEPARTMENTAL ACTION INITIATED/ PUNISHMENT AWARDED FOR VIOLATING SEQUENTIAL APPROACH**

- 39. ANY STEPS TAKEN TO INCREASE TRANSPARENCY IN DEALING WITH PUBLIC/ OTHER STAKE HOLDERS**

- 40. SYSTEM IMPROVEMENTS RECOMMENDED TO REDUCE OPPORTUNITIES FOR CORRUPTION**

- 41. NO. OF INSPECTIONS / INVESTIGATIONS UNDERTAKEN IN THE EVENT OF SLIPPING OF AUDIT RATING OF A BRANCH ON ACCOUNT OF FRAUD / SERIOUS IRREGULARITIES**

- 42. AVERAGE TIME TAKEN TO FINALISE / CONCLUDE VIGILANCE 'F' CASES**

- 43. NO. OF REVIEWS (OF THE VIGILANCE WORK) UNDERTAKEN IN THE YEAR BY THE TOP MANAGEMENT COMMITTEES**