



BEST PRACTICES IN VIGILANCE ADMINISTRATION



Message from the Commission

The Central Vigilance Commission is observing Vigilance Awareness Week from 30th October to 5th November 2023 with the theme “ भ्रष्टाचार का विरोध करें; राष्ट्र के प्रति समर्पित रहे”, “Say no to corruption; commit to the Nation”.

The Commission firmly believes that an effective Vigilance Administration can play a vital role to make the organization corruption free. Timely disposal of the complaints addresses the issue of corrupt practices/ leakage of funds and also protects the organization from reputational loss. The Commission also attaches highest priority for timely completion of Departmental Inquiries. It is therefore imperative on the part of the Head of the Organization / CEO to ensure completion of Departmental Inquiries against the charged officials within the stipulated period of time.

The Commission has taken an initiative to conduct an appraisal of the vigilance administration of different organizations. The performance of the organizations has been assessed on critical parameters such as disposal of Disciplinary Proceedings and handling of complaints, by using objective statistical methods. The good practices of the top performing organizations have also been compiled in this booklet.

The Commission believes that this booklet would help motivate the organizations for excellence in vigilance administration.

The Commission congratulates the contributors and the editorial team for bringing out this valuable compendium of Best Practices.

A handwritten signature in blue ink, appearing to read "Arvinda Kumar".

Arvinda Kumar
Vigilance Commissioner

A handwritten signature in blue ink, appearing to read "Praveen Kumar Srivastava".

Praveen Kumar Srivastava
Central Vigilance Commissioner

Message from the Secretary

Vigilance Administration is an integral function of every organization. It has evolved over the years in different organizations, with some of them having an extremely efficient system in place.

An unique exercise of assessing the efficiency of this important function in different organizations has been recently attempted in the Commission. The methodology to be adopted was decided after many rounds of discussions and obtaining inputs from different stakeholders. Many parameters can be considered to assess the efficacy of the vigilance administration in an organization. Two of the broad parameters considered in the present exercise is the time taken in disposal of complaints and the efficiency in which departmental inquiries have been taken to their logical conclusion. The results of this exercise are being published in this booklet.

An editorial team led by Shri Ajay Kanoujia, Additional Secretary have also collected a number of relevant articles expounding the best practices adopted in different organizations.

I hope that this publication would help organizations to introspect on where they stand in comparison to other comparable organizations and usher in necessary changes in the following years.

A handwritten signature in blue ink that reads 'Daniel'.

P. Daniel
Secretary



From the Editor's Desk

It gives me immense pleasure to present this special booklet on “Best Practices in Vigilance Administration” to our readers.

This booklet is the result of a special effort undertaken by the Commission to evaluate the performance of Vigilance Administration as well as best practices in the Central Ministries/Departments, Central Public Sector Units, Public Sector Banks and Insurance Companies and other organizations.

For this purpose, an exercise was conducted to assess the functioning of the organizations, particularly in handling of complaints by the vigilance administration and completion of inquiries by the disciplinary authorities in the organization in the stipulated time.

To achieve the above objective, organizations were requested to furnish data to the Commission in a prescribed format. The information received from the organizations was evaluated and it was found that many of the organizations have done excellent work in respect of disposal of complaints and conclusion of departmental inquiries.

The rationale, philosophy, approach and methodology of evaluation of organizations have been brought out in the appendix of this booklet. Best practices adopted by the organizations in vigilance administration are also brought out in it.

This booklet is aimed at providing an insight to other organizations to make their Vigilance Administration robust and effective to deal with the challenges in the organization.

Ajay Kanoujia
Additional Secretary

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DIGITAL EMPOWERMENT - TRANSFORMING VIGILANCE ADMINISTRATION THROUGH 'e-Vigilance'



1. Introduction and background

In the contemporary landscape of corporate governance, where technology's influence is ubiquitous, Organisations are leveraging digital tools to not only streamline operations but also fortify their ethical frameworks. Steel Authority of India Limited (SAIL) Vigilance, has harnessed the power of digital empowerment to revolutionize its vigilance practices through the paradigm of 'e-Vigilance'. This shift from traditional methods to digital platforms has not only enhanced vigilance administration but has also engendered a culture of transparency, accountability, and efficiency within the Organisation.

2. Implementation - The role of 'e-vigilance' in enhancing vigilance administration

Efficient complaint management

A key aspect of vigilance administration is handling complaints effectively. 'e-Vigilance' introduces online platforms that allow employees, stakeholders, and even external parties to easily report any ethical concerns or suspected wrongdoings. This not only facilitates the complaint submission process but also ensures that complaints are channeled directly to the SAIL Vigilance deptt in a secured/confidential manner and eliminating delays.

Aligned with the complaint handling policy of the Central Vigilance Commission (CVC), SAIL Vigilance has implemented a dedicated "Online Lodge Complaint" module on the official SAIL Internet website. This module enables complainants



to directly register their grievances concerning corruption within SAIL Plants/ Units.

Centralized vigilance portal 'Suvidha': effortless vigilance management

At the heart of this digital transformation lies the introduction of the centralized in-house Vigilance portal, aptly named 'Suvidha'. The portal serves as a game-changer, revolutionizing the way complaints are registered, updated by Vigilance officials and monitored by CVO/additional chief vigilance officer. This digital platform serves as a single point of entries for complaints, Regular Departmental Actions, enabling efficient tracking.

By maintaining up-to-date information related to complaints and Regular Departmental Actions (RDAs) on the Suvidha Portal, the vigilance clearance procedure is accelerated. This results in reduced wait times and ensures personnel departments receive timely clearance, minimizing delays in employee matters and can make informed decisions promptly.

Suvidha serves as an integrated platform for recording details about Preventive Vigilance measures, including surprise checks and field vigilance's file scrutiny activities. Likewise, it also functions as a repository for data regarding systemic improvements, preventive and administrative actions taken based on vigilance cases. This information is systematically updated and maintained on the portal.

In addition, 'Suvidha' plays a crucial role in tracking job rotations, training-related data, and various other vigilance-related matters, further enhancing its utility and impact.

The Portal also incorporates diverse modules, including a repository of minutes from ACVOs Meets, CVO Monthly Review Meetings, database of Agreed/ODI Lists, Monthly MIS reports and knowledge-sharing elements like PowerPoint-



based case studies on significant vigilance subjects and investigation-based matters. These components are regularly updated to ensure that vigilance officers are well-informed about crucial affairs.

Digital Modules for comprehensive monitoring

Annual Immovable Property Returns (AIPR): SAIL Vigilance harnessed digital capabilities to develop a module for monitoring Annual Immovable Property Returns. This module automates the process of receiving, reviewing, and archiving property declarations from employees, ensuring that assets are appropriately disclosed and monitored for potential conflicts of interest.

CBI Related Database: A digital repository for CBI-related information aids in centralizing and managing data associated with CBI investigations related to SAIL CBI cases. This streamlines the retrieval and sharing of information, enhancing vigilance operations.

Business Intelligence and Analytics for Enhanced Vigilance: SAIL Vigilance's commitment to excellence is reinforced through its utilization of SAP and Business Intelligence (BI) modules. This integration has significantly enhanced the department's preventive checks by identifying and rectifying systemic vulnerabilities. Vigilance harnesses data analytics from BI and Enterprise Resource Planning (ERP) central component modules to strengthen scrutiny processes, such as file scrutiny and surprise checks. This data-driven approach optimizes efficiency and effectiveness in vigilance operations.

Scrutiny of system audit report at SAIL plants/units

Following the guidance outlined in the CVC Vigilance Manual 2021, SAIL Vigilance has embarked on the process of reviewing Systems Audit Reports performed by various computer emergency response team-In Empanelled agencies at

SAIL Plants/Units. The Vigilance departments at Bhilai Steel Plant, Salem Steel Plant, and Durgapur Steel Plant meticulously examined the vulnerabilities highlighted in the security audit reports for the year 2022.

This rigorous analysis aims to identify any potential Vigilance-related aspects within the context of these reports. The scrutiny of these Systems Audit Reports plays a pivotal role in ensuring the consistent audit of IT systems in operation across SAIL Plants/Units by Computer Emergency Response Team (CERT)-In empanelled agencies. This robust approach serves to safeguard the Organisation's interests against the risks of data breaches and systemic vulnerabilities.

3. Impact and benefits

SAIL Vigilance's digital initiatives offer a range of benefits:

Efficiency: Digital platforms expedite processes, reduce paperwork, and enhance operational efficiency.

Compliance: The digitized approach ensures adherence to CVC guidelines, aligning SAIL Vigilance with best practices in vigilance administration.

Timeliness: Through digital modules, vigilance clearances and job rotation, AIPR related monitoring activities are streamlined, reducing turnaround time and enhancing timely decision-making.

Data-driven insights: Utilization of BI and analytics enhances vigilance checks, minimizing systemic weaknesses and strengthening ethical practices.

Data management: Cloud based Centralized digital databases improve data management, ensuring accurate and secure storage of crucial vigilance-related information.



While the benefits of 'e-Vigilance' are substantial, its implementation is not without challenges. SAIL has also embarked upon a journey to integrate ERP systems installed across SAIL Plants / Units. As SAIL continues its journey of digital empowerment, it remain committed to regular updates, upgrades, and staying attuned to emerging technologies.

Additionally, continuous training and awareness programs are essential to ensure that all stakeholders are well-versed in utilizing the 'e-Vigilance' tools effectively. In order to deal with these challenges SAIL Vigilance has prepared a comprehensive training programme for capacity building of its Vigilance officers. It is ensured that Vigilance officers are trained effectively to overcome barriers related to technological changes.

In addition to enhancing skill development, SAIL Vigilance is actively engaged in creating several IT-driven modules using its internal capabilities. These initiatives encompass the establishment of an FSA (First Stage Advice of CVC/ CVO) Bank to monitor and ensure proper implementation and the creation of an online database for all CBI cases linked to SAIL over previous years.

In summary, SAIL Vigilance's digital empowerment initiative epitomizes a best practice in modernizing vigilance administration. The strategic adoptions of technology through platforms like 'Suvidha,' digital modules, and an analytics-driven BI solution has ushered in an era of enhanced efficiency, compliance, and data-driven decision-making.

By harnessing the capabilities of technology, the Organisation not only streamlines processes but also nurtures a culture where ethics, transparency, and accountability flourish. 'e-Vigilance' is not merely a technological upgrade; it's a commitment to excellence, integrity, and the relentless pursuit of organizational betterment. This transformation underscores SAIL's unwavering commitment to vigilant ethics and operational excellence.



ENHANCING ETHICAL GOVERNANCE - THE CRUCIAL ROLE OF REVIEWS



1. Introduction and background

Vigilance administration in SAIL follows a multi-tiered system of regular reviews, encompassing semi-annual Board reviews, quarterly structured meetings, and a monthly review led by the Chief Vigilance Officer (CVO). This systematic and comprehensive approach underscores SAIL's unwavering commitment to vigilance, ensuring that ethical principles are not only upheld but also deeply ingrained in the Organisation's culture. These practices cultivate a proactive vigilance ethos and ensure that the Organisation's ethical compass remains unwavering in navigating the complexities of corporate operations.

2. Implementation

Board review on a half-yearly basis

At the apex of SAIL's governance pyramid, the Board review serves as a crucial checkpoint for vigilance efficacy. This review, conducted on a half-yearly basis, underscores the Organisation's commitment to accountability and ethical governance. SAIL Corporate Vigilance presents comprehensive information about its vigilance activities and significant highlights over a six-month period to the SAIL Board through board agendas and presentations for thorough review. During these reviews, the Board engages in a comprehensive evaluation of the Organisation's vigilance activities, policies, and performance. These reviews serve as a platform for the top leadership to evaluate the effectiveness of vigilance mechanisms, identify areas for improvement, and provide strategic guidance for vigilance initiatives.



SAIL Board indeed plays a pivotal role in shaping the Organisation's vigilance architecture and the way the SAIL Vigilance manages its activities. A prime example of the Board's influence is its instrumental role in endorsing the implementation of the Anti-Bribery Management System (ABMS): IS/ISO 37001:2016 in SAIL.

The ABMS, guided by the IS/ISO 37001:2016 standard, stands as a sentinel against bribery. The Board's endorsement not only demonstrated its commitment to vigilant governance but also catalyzed a ripple effect within the Organisation.

Structured meetings

In line with the guidelines provided by the Central Vigilance Commission (CVC), which emphasizes the regular review of vigilance activities by the Chief Executive or Head of Department along with the Chief Vigilance Officer (CVO), regular structured review meetings are held between Chairman SAIL and CVO, SAIL. The structured reviews strictly adhere to the prescribed format outlined by the Commission. This approach is in full compliance with the CVC's directive, which requires the CVO to furnish comprehensive details about the conducted reviews, actions taken, and the current status as part of the quarterly reports submitted.

Within SAIL, structured meetings form an essential conduit for vigilance-related discussions and decisions. These meetings provide a platform for Vigilance and Management to exchange insights, discuss challenges, and formulate strategies to enhance ethical governance. Structured meetings are meticulously designed to facilitate open dialogue, ensuring that critical vigilance issues are addressed promptly and comprehensively. Following the meeting, the Top Management provides essential instructions and directives for the implementation of various proposals.

ACVOs meet, CVO monthly reviews and weekly review of ACVOs

SAIL Vigilance comprises of a Corporate Vigilance Department at the Corporate Office in New Delhi and twelve field Vigilance units situated across various SAIL Plants/Units throughout India. These field Vigilance units are under the leadership of Additional Chief Vigilance Officers (ACVO), who are supported by a team of executives and field staff. ACVOs and HoD Corporate Vigilance, report to the CVO through the Executive Director (Vigilance).

The field Vigilance units play a crucial role in carrying out most of the field Vigilance tasks, including conducting thorough investigations, executing preventive checks, performing CTE type intensive examinations, implementing of FSAs (First Stage Advice) from CVC/CVO, and systemic improvements and preventive and administrative measures.

On the other hand, Corporate Vigilance is primarily responsible for devising action plans for field vigilance units, monitoring of Vigilance activities throughout the year, registering complaints and forwarding them to ACVOs, analyzing detailed investigation reports submitted by ACVOs before seeking FSA from CVO, and liaising with external entities like CVC, Ministry of Steel, and CBI to ensure compliance of guidelines and requirements. Moreover, Corporate Vigilance plays a critical role in harmonizing the efforts of all Vigilance units and departments.

Given this distinctive structure of SAIL Vigilance, it becomes paramount to conduct regular and periodic assessments of Vigilance work under the supervision of CVO. This approach ensures the seamless and effective administration of Vigilance. Consequently, the concepts of ACVOs Meet, CVO Monthly review meetings and Weekly progress review of ACVOs were developed to foster collaboration, streamline processes, and enhance the overall efficiency of Vigilance administration.

[ACVOs - Heads of Vigilance Deptt at various SAIL Plants and Units]



ACVO's meet

A significant highlight of SAIL's commitment to vigilance is the convening of the Additional Chief Vigilance Officers (ACVOs) Meet which is chaired by the CVO. This gathering serves as a platform to review of various Vigilance activities undertaken by SAIL Plants / Units, sharing ideas/experiences, exchanging best practices, and fostering a collective sense of purpose among vigilance officers. The ACVOs Meet provides a unique opportunity for Heads of Vigilance officers posted across various SAIL Plants/Units to collaborate, deliberate, and align their efforts towards a unified vigilance approach.

During the ACVOs Meet, the participants engage in insightful discussions on emerging vigilance challenges, evolving compliance requirements from external stakeholders such as CVC/MoS, and innovative approaches to ethical governance. The exchange of ideas not only enriches individual perspectives but also generates a synergy that propels the Organisation towards higher levels of vigilance effectiveness.

Monthly review by CVO

The Monthly Review conducted by the Chief Vigilance Officer (CVO) at Corporate Office, SAIL is a cornerstone of SAIL's vigilance governance. This systematic review mechanism serves as a dynamic checkpoint, ensuring that vigilance initiatives are on track and responsive to the Organisation's evolving needs. The Monthly Review is a comprehensive assessment of vigilance activities, investigations, preventive measures, and capacity-building initiatives. Additionally, the monthly review conducted by the CVO serves as a platform to share pertinent information and emerging trends in vigilance, thereby enhancing the efficacy of vigilance administration throughout SAIL.

Weekly progress review of ACVOs

As the leaders of the Field Vigilance units within SAIL Plants/Units, ACVOs undertake a range of vigilance activities including handling complaints, preparing preliminary/detailed investigation reports, monitoring ongoing RDAs/enquiries, and conducting preventive checks in the Thrust Areas identified at the beginning of the year.

Given that ACVOs hold pivotal roles in the fundamental vigilance operations at plants/units, it becomes crucial for Corporate Vigilance to closely supervise these activities to ensure adherence to the stipulated timelines by CVC. To facilitate this, ACVOs provide weekly status/progress reports that detail the status of complaints, investigations, and other relevant matters, which are then reviewed by CVO / ED (Vigilance).

3. Impact and benefits

Here's how the aforementioned reviews significantly contribute to the effectiveness of Vigilance Administration:

Alignment with management: Regular reviews by high-level authorities ensure that the Vigilance department's goals and initiatives are in harmony with the broader organizational objectives. This alignment fosters better coordination and integration of vigilance activities with overall business strategies.

Timely completion of activities: Reviews help maintain a proactive approach towards vigilance-related activities such as investigations, monitoring departmental proceedings, completion of CTE type inspections and surprise inspections etc. By highlighting progress and potential roadblocks, these reviews enable timely interventions, adjustments, and corrective actions, ensuring that no vital activity faces unnecessary delays.



CVC guideline compliance: CVC guidelines lay down procedural standards for vigilance activities. Regular reviews ensure that the Vigilance department is compliant with these guidelines.

Continuous improvement: By scrutinizing the outcomes of investigations, preventive measures, and trainings, the Monthly Review drives a culture of continuous improvement in vigilance practices.

Transparency and accountability: Reviews promote transparency by providing a platform to showcase the department's efforts, achievements, and challenges.

Cultural influence: High-level involvement in vigilance reviews sends a strong message throughout the Organisation about the significance of ethical conduct and integrity. It contributes to building an ethical culture and fostering trust among stakeholders.

Performance evaluation: It provides an objective evaluation of the performance of vigilance officers, units, and departments. This assessment fosters accountability and encourages a proactive approach towards vigilance.

Strategic insights: The Monthly Review enables the CVO to gain strategic insights into vigilance-related trends and patterns. This knowledge informs the Organisation's overall approach to ethical governance.

In conclusion, the regular reviews of Vigilance work by the Board, Chairman, and CVO play an instrumental role in ensuring that the Vigilance department remains closely aligned with organizational goals, remains focused on the timely completion of activities, and upholds the highest ethical standards in accordance with CVC guidelines. These reviews not only enhance efficiency of Vigilance administration in SAIL but also reinforce its critical role in maintaining the Organisation's integrity and ethical practices.



IMPLEMENTATION OF DEDICATED DISCIPLINARY MANAGEMENT HUB



1. Introduction and background

In the earlier system for conducting disciplinary proceedings in the bank, General Manager of the Network (normally there are 2 to 3 networks in one circle) / vertical used to handle the role of Disciplinary Authority along with his other roles like monitoring, follow-up and review of growth in Business Development, NPA management, Branch Audits, compliance and other operational issues in their network.

There were approximately 50 General Managers of the networks, who were also handling the role of Disciplinary Authority. Business development being the primary job, the works related to Disciplinary Proceedings turn to be a non-priority area. It led to delay in decision making in DP cases. Moreover, considering the vast number of the DAs, uniformity and objectivity were lacking in some of the decisions taken by them. All the cases of disciplinary proceedings having Vigilance angle were routing between DAs and CVO office through Vigilance department of the respective circles. CVO was the single point to take decisions / advice on all cases. Being the largest bank, volume of such disciplinary cases was also very huge.

2. Implementation

Centralization of internal advisory committee (IAC)

Internal Advisory Committee (IAC) was introduced in the Bank on directions of CVC to determine the existence of vigilance angle in cases. In the earlier system,



there were 18 IACs (17 at Circles and 1 at Corporate Centre). To avoid divergence in interpretation of vigilance angle, a centralized structure at Corporate Centre was created to process IAC cases exclusively, with renaming of IAC at Corporate Centre as IAC-I and creation of IAC-II in lieu of 17 Circles level IACs w.e.f. 29.01.2020.

Appointment of 6 additional CVOs (ACVOs) by DFS

In the financial year 2020-21, department of financial services, Government of India implemented ACVO structure in the Bank vide DFS order dated 20.04.2020. Total six (6) Additional Chief Vigilance Officers (Addl. CVOs) were appointed in the Bank on deputation basis in SBI at various locations, to assist CVO in his task of supervision of Vigilance matters in Circles / Verticals / Subsidiaries.

4 Addl. CVOs were posted at four geographical zones i.e. East, West, North & South and 2 Addl. CVOs were posted at Mumbai Corporate Centre. One of them is looking after Cases of Corporate and Mid-sized credit accounts and another is looking after Regional Rural Banks (RRBs) and Indian and Foreign subsidiaries of the Bank.

The Addl. CVOs have been given the authority to tender the advice on the vigilance disciplinary cases wherein, officers up to scale-IV are involved. For officials above scale-IV, cases are referred to CVO and if Vigilance angle found, to CVC.

Creation of dedicated disciplinary authority

In the year 2020, bank rationalized the structure of IAC by making it centralized and another layer in Vigilance administration was added by the DFS by appointing Addl. CVOs in the Bank. In order to synchronize the overall structure of the Disciplinary proceedings in the Bank, Disciplinary Authority (DA) structure of the Bank was aligned on 02.07.2020, on the similar lines. Circles were grouped in four geographical zones i.e. East, West, North & South

and a Discipline Management (DM) Hub headed by General Manager and under the administrative control of one of the Dy. Managing Director & was set-up in the Bank.

The new GM DAs are a newly created dedicated positions for the grade of General Managers, who have been assigned the role of Disciplinary Authority only. In earlier system, cases were moving from multiple DAs to single Addl. CVO, this issue was addressed in the new system, by synchronizing the position of DAs with Addl.CVOs.

The dedicated DM Hubs have their jurisdiction over all the officials posted within their respective circles up to the grade of scale- V. Disciplinary Authority structure for officials above scale-V was already centralized. Location of the DM Hubs has been kept at the same center where, Addl. CVOs were posted by Government of India.

2. Impact and benefits

New Centralized Dedicated DM Hub structure proved very beneficial to the Bank. In the earlier system, primary role of the General Manager Network was business development, and the works related to Disciplinary Proceedings got shifted to the lesser priority. It led to delay in decision making in disciplinary proceeding cases. We list below some of the following benefits of the new system-

- This resulted in better co-ordination and quick disposal of the cases / overall Vigilance administration.
- It has helped in reducing overall numbers of pending Disciplinary cases.
- It has led to a faster and efficient disposal of disciplinary cases. The average turnaround time of disposing a case of major penalty (from issuance of chargesheet till issuance of final penalty order) has reduced from earlier 10 months to 9 months.



- The new system brought uniformity in the decision making because of centralization of DM Hub, reducing the number of DAs (approx. 50) to now only 4, and there are very few cases of divergence in the interpretation of Vigilance angle.
- It has brought a unified approach while imposition of penalties on similar kind of lapses.
- This has resulted in better monitoring and follow-up of cases, and overall better control over Vigilance administration.
- Apart from the benefits to the whole Disciplinary Process, this new system has also helped in better focus by the Network General Managers in business growth and other operational areas.
- The approach of the new system is more transparent and objective. The Disciplinary Authorities are independent and are under direct control of deputy managing director & chief operating officer. This has released them from other types of pressures emanating from operational functions, making their decisions more transparent.
- The new system has brought in the required efficiency into the DP processes, which has positively impacted the morale of the officials against whom the DP was undergoing. A free, fair, and independent system has instilled a sense of accountability and responsibility among staff.
- In the present system of DM Hubs, DAs have gained in experience and are more skilled to handle disciplinary proceedings compared to earlier system.

This system of dedicated DM Hubs has proven very beneficial, efficient, uniform and turn around time improving to our large Organisation. The same system can be easily replicated in other Organisations as well.



ROLL OUT OF DISCIPLINARY PROCEEDINGS MANAGEMENT SYSTEM



1. Introduction and background

Disciplinary proceedings (DP) in SBI were earlier handled in physical form and the information/ data was recorded/captured in different applications along with the scanned copies of the documents related to the case. Standalone platforms like Staff Accountability Portal (SAP) for staff accountability examination, Vigilance Case Tracking System (VCTS) for vigilance cases and Business Conduct and Discipline Management Online Processing Platform (BCDM-OPP) for non-vigilance cases are presently being used for processing of cases and MIS/record maintenance.

The earlier systems were not integrated and did not enable monitoring/tracking on a real time basis. In the earlier system Disciplinary cases were processed through standalone independent applications with no flow of data from one to another.

2. Implementation

End to end digitization

In order to bring about the structural efficiencies and processes consistencies, Bank initiated digitization of the entire disciplinary process, end to end, in a single platform. The entire disciplinary proceeding case, from the stage of occurrence of the incident till imposition of penalty and subsequent Appeal and Review stage, will be processed through the Portal.



To track the status of investigation in any NPA account or reported incident, Staff Accountability Module has been re-developed which captures the details such as date of order of investigation, date of investigation, investigation ordering authority etc. Additional functionalities have been developed in existing Vigilance Case Tracking System (VCTS) and Business Conduct & Discipline Management (BCDM) Department (Non- vigilance cases) for processing of entire disciplinary case through the system. Further, Appeals & Review Module has been developed for processing of appeals and review cases, thus ensuring end to end digitization of the entire disciplinary proceedings process.

Disciplinary proceedings management system

All these Modules have been integrated in new application and named as **Disciplinary Proceedings Management System (DPMS)**. Preparation of framework started during May 2022 and the DPMS has been rolled out across the Bank on 1st July 2023. All the Disciplinary cases across Bank are being routed through the new system.

DPMS consists of undernoted 3 modules:

- (i) Staff Accountability module
- (ii) Vigilance Module & Non-Vigilance Module
- (iii) Appeal & review module

(i) Staff accountability module

Accounts turning NPA are auto populated from central data base of the Bank in this module at monthly intervals. After screening committee mechanism in applicable cases, the Controller orders for Investigation. The process of assigning the investigation is online and after completion of Investigation, Investigating Official uploads his Investigation Report along with other case related documents.

After going through the investigation report, Controller of the branch decides on initiation of disciplinary proceedings against the employee based on the lapses attributed.

(ii) Vigilance & non-vigilance modules

From Staff Accountability Module, the Case moves to Vigilance Module for classification of case against the erring employee as Vigilance/ Non-Vigilance/ No Case. After classification, the Cases classified as Non-Vigilance move to Non-Vigilance Module and Cases classified as Vigilance remain in Vigilance module for further processing. After serving Explanation letter and getting reply, the same are put up to the Disciplinary Authority (DA) for his views on Disciplinary Proceedings (Major/ Minor/ Admin Warning/ No Case) to be initiated. Subsequent process of issuing charge sheet inflicting the Penalty, First/ Second Stage Advice/ Expert Consultation from ACVO/ CVO/CVC/ CEO/infliction of penalty by DA etc are covered in the respective modules. All these events are captured in the DPMS.

(iii) Appeal & Review Module

The penalty awarded by the DA is reflected in Human Resource Management System (HRMS) and the same is visible to the concerned officer/ staff. The officer/ staff has the option of appeal against the decision of DA. The events of filing appeal/ review and outcome of the same will be captured in DPMS.

3. Impact and benefits

Earlier systems lacked end to end processing and had some limitations as under:

- ❑ No Centralised monitoring of Staff Accountability examination in all NPA accounts.
- ❑ Data captured in the applications as record keeping but not on real time basis.



- ❑ Movement of case papers in physical form or through scanned copies at every stage of proceeding.
- ❑ No MIS to enable stage wise monitoring of disciplinary cases, resulting in delays in disposal of cases.
- ❑ Manual and time-consuming process for obtaining Vigilance/DPD Clearance.
- ❑ Centralised monitoring of TAT for disposal of cases not possible.

All the above issues have been addressed in the Disciplinary Proceedings Management System (DPMS). This application offers benefits, including real-time case updates, streamlined records without duplication, and easy access via the bank's intranet which will have lot of positive impact on the overall disciplinary proceeding ecosystem. Some of the benefits of DPMS are as under:

- i. System captures the data related to disciplinary proceedings on a near real time basis, and effective tool for monitoring and disposal of disciplinary cases in timely and swift manner.
- ii. DPMS will have a database of all the disciplinary cases which will be helpful in generating quality MIS. This will enable quick and accurate submission of various reports to the Top Management and CVC/DFS/Regulators etc.
- iii. This System brings about the structural efficiencies and process consistencies resulting into an effective, timely and less paper discipline management ecosystem.
- iv. In coming times, will be used as Single source for obtaining DPD/Vigilance clearance.
- v. The system is flexible enough to incorporate any changes required based on the guidelines issued from time to time.
- vi. It will enable prompt monitoring of disciplinary proceedings cases.
- vii. DPMS will provide secure access to authorized users in line with IT policy of the Bank with Potential for Replicability.
- viii. Centralised monitoring of TAT for disposal of cases.



DIGITAL INITIATIVES FOR VIGILANCE ADMINISTRATION



1. Online vigilance clearance and complaints handling system (OLIV)

Online vigilance clearance

For the purpose of vigilance clearance, access has been provided to various stakeholders like HR Dept., Legal Dept. etc. to initiate the process of vigilance clearance for the employees in line with company policy. The Portal has a provision of fetching the employee related data from HR Portal in the ERP. System has the provision to identify requirement of vigilance clearance as per the policy of the company.

HR Dept. has been authorised to initiate vigilance clearance process in the OLIV Portal on receipt of the request from the employees or as required by the company like promotion, posting to sensitive area etc. The request will be processed to vigilance department in the Division/Complex/CO on real-time basis along with HR Data and other documents. The request for the vigilance clearance is being processed online and communicated to HR Department on the approval of CVO.

User ID & password for all stake holders and built in security features and independent backups. All the complaints and vigilance clearance requests bear Unique ID. Vigilance clearances are issued within less than 48 Hrs. Complete back up data of earlier vigilance reports are available online for immediate reference.



Complaint handling system

The system has been created to process all complaints received through post, website/complaint portal directly by HAL and other agencies like CVC, MOD, and CBI etc. The rights to access the system has been provided to the caseworkers and officers working in the vigilance department. Complaint, if any received at vigilance department has been uploaded in the portal with a brief of the complaint by the caseworker for further processing by the vigilance officers at various levels. After careful examination of the complaint by the vigilance department, the proposal is being put up to CVO for consideration and approval. The system enables attachment of complaints and other documents which are relevant to the complaint.

Subsequent to the approval of CVO, vigilance officers carryout detailed investigations and submit reports on case to case basis.

Oliv Portal facilities real time monitoring of complaint disposal at vigilance department and ensure the timely disposal of complaints. It ensures transparency and efficiency in the working of vigilance department. As most the work in the vigilance department has been carried out through Oliv, it ensures digitalisation of record. It has reduced timeline in disposing complaints and is a means to monitor all the activities in the vigilance department by CVO.

Preventive vigilance

Preventive vigilance check in the form of routine inspection such as Action Plans, Surprise Check, CTE Types and System Study, which are decided at corporate office and assigned to vigilance units at Divisions. Vigilance units at Divisions are carrying out inspections in a methodical & systematic manner under the guidance of complex vigilance units. Provision has been made in the Oliv portal to process vigilance observations and further action on the basis of report submitted by the divisional vigilance unit.

Vigilance information management system

Vigilance Information Management Systems (VIMS) is an online reporting system which facilitates Vigilance Department to compile the various monthly/ quarterly/ annual reports for CVC /MOD/CBI etc. Periodical Reports from different departments like purchase, finance, HR and civil are received online by the vigilance department through the portal and same has been consolidated and forwarded to CVC/MoD/Other Agencies with the approval of CVO.

Online monitoring of disciplinary proceedings

OLIV Portal provides mechanism for monitoring the progress of disciplinary proceedings and other activities related to vigilance. In case of delays, reports are being generated and forwarded to concerned authorities to expedite the process.

2. Vigilance observations and recommendations (VONR)

HAL Vigilance Department has developed vigilance observations and recommendations portal called "VONR" in order to monitor the actions taken on the observations and recommendations made by the vigilance department at the Division. The portal has been developed and deployed in Hyderabad Division as a pilot project. The portal will be operated by Head of the Vigilance Department at Division with viewing rights to Head of the Division and other Senior Management Officials at Division. The portal is likely to be deployed across all the Divisions in HAL.

Vigilance department in HAL carries out various activities as a part of preventive vigilance check in the form of routine inspection such as Action Plans, Surprise Check, CTE Types and System Study in various sensitive / corruption prone areas in the Divisions. In the process, files/documents are scrutinized and systems employed in the Division has been studied in order to understand the effectiveness of the system from vigilance angle. Thereafter, vigilance department submits its observations / recommendations to the management for further action.



All such interventions are divided into four categories, viz:

- i. Recommendation on Systemic Improvements,
- ii. Corrective actions against vigilance observations,
- iii. Quarterly Vigilance Committee Meeting directives,
- iv. Administrative actions on the Action Taken Reports

“**VONR Portal**” has been developed to track the status of implementation of all such vigilance recommendations, which have been forwarded to management for implementation.

After recommendations are forwarded to Management, the same has been entered in the portal with complete details like reference, authority, date of recommendation, subject, department, remarks with provisions to update status of the recommendations. Additionally, document uploading facility is made available to upload any interim progress. All the recommendations are sorted date wise, however, the same can be sorted department wise for ease of reviewing. The recommendations are reviewed online in the portal by the Head of Division and directives for corrective action initiated simultaneously.

The status will be updated regularly by the concerned head of departments and verified by head of vigilance unit after submission of documentary proof of implementation as “implemented”. The recommendation will then be automatically closed from the respective recommendation category.

At present, viewing rights are given to unit heads and concerned departmental heads and all updates are done by divisional vigilance heads only.

The portal is confidential and password protected. Vigilance recommendations are given as means of corrective actions, bringing in transparency in the activities, plugging of loopholes in the systems, minimizing the scope for corrupt practices etc. Timely actions on the part of administrative authorities plays very important role in achieving the objectives of the Organisation. OLIV and VONR Portal provides the opportunity to monitor the Vigilance cases and the recommendations given by the vigilance department and ensure timely disposal of cases implementation of the systemic improvement measures suggested by the vigilance department by the management.

IMPLEMENTATION OF WHISTLE BLOWER POLICY THROUGH DIGITAL MODE



1. Introduction and background

The Whistle Blower Policy has been implemented in the Bank through Digital mode, which enables the employees of the Bank to raise complaints under the Policy online. Bank has developed a separate In-house package under SAS (Single Authentication Service) for the said purpose. The modality for lodging complaint through the package involves 4 factor authentication viz., User ID, Password, Biometric authentication and OTP (received in registered mobile number of complainant). Hence, confirmation of Identity of the employee is not required unlike in physical mode. The package is accessible for all the employees of the Bank across the country.

The Whistle Blower Mechanism is an important tool for Preventive Vigilance to curtail frauds or unethical practices within the Bank. The policy is put in place as a part of maintenance of Corporate Governance towards achieving greater transparency and with an objective to provide a framework to persons to act as whistle blowers. It aims to protect such whistle blowers wishing to raise a concern about any allegations of corruption or of misuse of office that could jeopardize the interest of the Bank.

The 'Whistle Blower Policy' has been introduced in 2013 in the Bank to report through physical mode any unethical practices, frauds, observed in operational areas by the employees.

As per the Policy, the Chief General Manager [in his absence General Manager], Human Resources Wing, Head Office, will be the "Designated Authority". An



officer not below the level of Deputy General Manager / Assistant General Manager of Human Resources Wing, authorized by the Designated Authority for receiving and handling of whistle blower complaints will be the “Authorized Official”. As per the “Whistle Blower Policy”, if a complaint is received under Physical mode, the authorized official asks for confirmation of identity of the complainant. In the physical mode of complaint processing, there is always a risk of disclosure of identity associated with it.

Hence, Bank has now given an option to employees for raising of complaint either through Physical mode or Digital Mode.

2. Implementation

The Bank has developed an online package under SAS enabling the employees for raising of complaints through digital mode. The following is the procedure involved in lodging of complaints through the SAS package:

- The employee shall login to the intranet package (SAS) through user ID, Password and Biometric Authentication.
- The details of the employee, viz., Staff No., Name, Mobile No., Email ID and present placement will be automatically populated in the package.
- The employee can raise the complaint by directly typing up to 4000 characters or upload the complaint letter in package.
- The employee shall upload complaint letter along with supporting documents.
- The submission of Complaint shall be authenticated by OTP received on the registered mobile number of the employee.
- The complaint submitted by the employee through SAS package will be directly routed to Designated Authority thereby identity of the whistle blower is protected.

- On receipt of complaint through digital mode by the Designated Authority, the same will be forwarded to Authorized official to proceed further in the matter.
- Authorized Official will ensure that the identity of the complainant is removed from the body of the complaint and the dummy complaint is given a number with which the original complaint can be traced back.
- The record of all the complaints received through SAS package under this policy shall be recorded by the Authorized Official in SAS package for monitoring the status of the complaints received under the Policy.
- The periodical progress in respect of the complaints lodged in the package is put up to the 'Designated Authority once in every 2 weeks.

3. Impact and benefits

The implementation of the package in digital mode has offered Bank the following benefits:

- Timely detection of frauds and unethical practices in operational areas of the Bank.
- The package reduces the manual intervention, which improves the transparency and reduces Turn Around Time (TAT).
- It is an end-to-end package routed through different steps starting from submission of complaint by an Employee till disposal of the case through Digital mode.
- Identity of the complainant need not be established as it is confirmed at the time of submitting the complaint through OTP authentication.
- The portal is enabled with real time availability of data and maintenance of proper tracking of records, which will facilitate easy retrieval at any point of time.



- In Digital mode of processing of the complaints, the physical movement of the papers is avoided within offices/ across the offices thereby reducing the paper costs/ transit time/ TAT etc.,
- The identity of the whistle blower is protected.

In physical mode of complaint processing, there is risk for disclosure of Identity of whistle blower and it may take longer time to handle the matter. The Digital mode of submission/processing of the complaint will negate such issues and help in speedy disposal of the complaints.

Considering the overall discernable benefits and proficiency of the package towards maintenance of secrecy of the complainant, there is a good potential for implementation in all the PSBs.

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"SATARK" - VIGILANCE MANAGEMENT SYSTEM



1. Introduction

IndianOil has the largest customer interface in the country with 58,000 plus customer touch points in every nook & corner of the country including retail outlets, LPG distributorships, aviation fueling, bunker fueling, petrochemical and natural gas distribution networks to name a few. The company deals with a huge number of commercial transactions every day. A huge number of various stakeholders like suppliers, contractors, dealers, retailers, employees, contractual work force engage themselves on daily basis. The massive number of transactions and interface inherently leads to generation of complaints / grievances.

The Vigilance setup of IndianOil headed by Chief Vigilance Officer spreads across various Divisions for handling vigilance complaints. Handling & tracking of voluminous Vigilance case files is very challenging and SATARK system has been developed to digitally capture the flow of various vigilance cases i.e. complaints, source information, scrutiny, surprise inspection, Audit reports, CTE Type, CTE inspection etc. during the entire life cycle for receipt at Vigilance Department, to closure of the case.

SATARK helps in capturing the details of the cases and tracking them with all the relevant details like the allegations, complainant details, complaint type / category / department / installation type / installation state / installation name, recommendations on employee action, systemic improvement & other actions, lapses of employee in case of employee action and action taken reports from management.



SATARK has an inbuilt file tracking system which is updated by Vigilance officer at the time of sending & receiving the physical file. This feature enables the Vigilance Officer to track the file at any given point of time. The database thus generated is of immense help in processing Vigilance Clearance speedily and accurately.

The Vigilance clearance process for any employee is initiated by officers of the concerned HR department in SATARK, which later flows to Vigilance officers both at Field Vigilance and corporate office Vigilance for their comment.

Vigilance officers can see the HR profile of the concerned employee. After seeing the HR profile of the employee, Vigilance officers must include in their comments whether any case is pending as on date or in the past against the concerned employee. After comments by all the Vigilance officers in SATARK, the Clearance gets triggered in SATARK to CVO for his final order which in turn gets triggered to the HR officer with copy to concerned Vigilance officers.

SATARK provides many customized as well as tailor made reports such as periodic reports including quarterly reports, ageing analysis, case pendency at various levels, ATR status etc. which provides information for further analysis, monitoring and appropriate action.

The system also displays information on officers with pending employee action who are due for retirement in the next 6 months. Alerts mail get triggered in SATARK to Vigilance officers in field units whenever any enquiry / investigation task is assigned to them.

2. Implementation

SATARK has been developed keeping in view the updated user requirements and issues faced in the earlier system and is equipped with following features:

- ✓ User friendly System
- ✓ Integrated File tracking system
- ✓ Comprehensive MIS for showing various information.
- ✓ System driven alerts and reminders
- ✓ Provision for capturing recommendations on employee action, systemic improvement & other actions to be sent to management for seeking ATRs and updating of status of ATRs for each & every recommendation.
- ✓ Intranet based system which is not accessible over internet thereby ensuring restricted access of SATARK.
- ✓ No Vigilance case is missed / ignored even inadvertently as Vigilance clearance process gets driven from SATARK itself.
- ✓ A very versatile query feature

Operational training has been conducted for the Vigilance officers for using the SATARK portal and all the Vigilance functions are being processed on the SATARK portal by IOCL.

3. Impact and benefits

Impact on other functions (like manpower, reduction in operation costs, revenues, customer interaction, any other function) is listed below:

- ✓ SATARK system helps in storing, sharing, and backing up information pertaining to Vigilance cases.
- ✓ The system helps Vigilance coordinators in retrieving the relevant information from the database and aids them in making decisions.



- ✓ The analysis of the data stored in the system is utilized in taking suitable corrective action wherever required.
- ✓ Various reports generated by the system can be used for making different analysis like complaint wise ageing, location wise complaint pendency, coordinators' performance etc.
- ✓ The time consumed in manual report processing earlier has been reduced to a large extent now with SATARK. SATARK has greatly helped in reducing vigilance risk in the Organisation by toning up of end-to-end vigilance administration and monitoring. Some of key aspects are:
 - The analysis of the data and the reports generated in system are used for taking preventive/ participative measures like conducting awareness workshops, joint surprise inspections, scrutiny of files etc.
 - Periodically, data stored in the system is analyzed and various gaps/lacunae are identified and thereby Systemic Improvement measures are being recommended to improve the policy & procedures as a preventive vigilance measure.
 - The system helps in bringing transparency to the entire complaint handling system.
 - Monitoring ensures timely completion of investigations and resultant action.
 - Minimum chances of missing a case or of losing track of any case.
 - Ensures a methodical, transparent, and uniform case analysis eliminating any changes of bias etc.
 - Provides a rich repository of cases.

The following benefits are envisaged in the long run for the Organisation are numerous, both tangible as well as intangible:

- ✓ Considerable man hours were getting consumed for compilation of data, reports, etc. which has now become negligible.
- ✓ The SATARK system has been found very useful even in the case of transfer of Vigilance officers from / to other departments as it helps a lot in handing / taking over process.
- ✓ The SATARK system has resulted in better control and monitoring of Vigilance administration thereby resulting in speedy disposal of cases with improved efficiency.
- ✓ Timely implementation of system improvement measures and imposition of penalties on delinquent employees is acting as a great deterrent against corrupt practices.

SATARK equivalent system may be used in Organisations which come under the jurisdiction of the Commission regarding Vigilance administration. It is a highly agile and replicable system which can easily be adapted in any Organisation with minimal adjustments to suit their needs.

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"SWADHYAYA"- AN E-LEARNING INITIATIVE



1. Introduction and background

Swadhyaya or "self-learning", reflects the spirit of the e-learning initiative at IndianOil. It is an e-learning ecosystem for defining, benchmarking, developing, and assessing the technical competencies of IndianOil's workforce. The aim is to enable employees to take charge of their self-development. The project had the following broad work streams:

- √ Formulation of IndianOil's technical competency framework (TCF) for all functions.
- √ Creation of learning content based on the TCF for all functions.
- √ Establishing a state of art Learning Management System (LMS) providing anytime, anywhere, any device access to all IOCIans.
- √ Change management and adoption of the learning content laying the foundation for making IndianOil a Learning Organisation.

Through this platform, employees have access to content relevant to their functional needs and their personal learning interests. Through the Swadhyaya e-learning platform employees can view courses from across Divisions - Marketing, Refineries, Pipelines, Business Development, Corporate and R&D - anytime anywhere.

With more than 550 hours of content rich in text, multi-media, audio-video, human voice over, machine voice over, virtual reality, augmented reality - the initiative is path breaking and one of its kind in the industry.

The ideation of the project was done in mid-2018 and it was first presented in the Strategy Meet of 2018. Post in-principle approval, lining up of execution partner was done in early 2019. The project officially started on 14th March 2019. The Learning Management System (LMS) was inaugurated for all IOCIans by the Chairman on 01st September 2019.

The project has been fully implemented across IOCL. More than 1850 course have been created and uploaded. Nearing 3 million courses have been completed till now. *Swadhaya* has revolutionized the learning environment by opening the doors to learning beyond the routine classroom or online training.

Some numbers indicating the scale of the project are given below:

- √ Number of competencies identified in TCF (Technical Competency Framework): 565
- √ Number of functions covered in formulation of TCF: 70
- √ Number of active learners registered on the LMS: 21500 (including 2500 non-executives)
- √ Courses uploaded on the LMS - 1882
- √ Number of hours of learning content created - 950 hours
- √ Number of courses completed - approximately 3 million
- √ Entire TCF document and learning content is copyrighted

The eLearning ecosystem did not replace a system per se but augmented the existing Learning & Development interventions by providing uniform learning content to all IOCIans in an anytime, anywhere and any device format.

Transparency and easy access to Company's policies, procedures, SOPs and continuous updating of knowledge by employees has led to plugging of the gaps



and reduced vigilance risks. Courses on different modules of Vigilance and its functions educates the employees about the importance of following policies and procedures and also acts as a deterrent to adopting wrong or corrupt practices.

Currently there are 18 vigilance modules which includes animated modules and podcasts. The different vigilance modules are as below:

1. Vigilance Manual
2. Preparation and presentation of enquiry and investigation report
3. Prevention of Corruption Act
4. Vigilance administration and processes
5. Vigilance case study (other department)
6. Scrutiny contracts & purchases
7. Conducting location & reseller inspections
8. Vigilance case studies (sales)
9. Agreed list and officers of doubtful integrity list
10. Vigilance angle
11. PIDPI complaints
12. Investigating cases of disproportionate assets
13. Handling CVC cases
14. Conducting CTE examination
15. CVO roles & functions
16. Central Vigilance Commission- An overview
17. Property Returns and disclosures.
18. Vigilance clearance system

There have been nearly 20,000 course completions of vigilance modules and efforts are being made to increase the footfall by planning campaigns during Vigilance Awareness Week 2023.

2. Implementation

External consultants were hired as technological partners for the development of the portal, but the entire content was created using inhouse expertise. There are about 1000 Subject Matter Experts (SMEs) and nodal officers from across the departments. The resources used for building the eco system are enumerated below:

- √ Internal Subject Matter Experts (SMEs): Close to 1000 internal SMEs worked on the creation of TCF as well as learning content.
- √ Divisional eLearning teams: Close to 20 people who were part of eLearning teams at divisions and Corporate Office worked to drive the project.
- √ Instructional Designers: Close to 20 instructional designers from the execution partner worked with SMEs and animation creators to create the modules.
- √ Content Programmers: A team of content programmers have been lined up by the execution partner to convert the storyboards into upload ready courses.
- √ State of art LMS: A state of art cloud based and off the shelf LMS was implemented and made available to all IOCians.

3. Impact and benefits

Through *Swadhyaya*, current and future generations of our workforce can stay up to-date with trends in the industry and their own divisions, giving them a competitive advantage in a constantly evolving industry. Employees can learn at their own pace and convenience based on tailored learning paths as per



individual needs and career goals. At the end of the course there is a quiz for self-evaluation and reports can be generated about courses completed by them.

Campaigns can be run with incentives to encourage employees to take up new courses. This portal can also aid in the onboarding process for new hires, helping them get up to speed faster. Easy access to companies, policies, procedures, and SOPs has led to plugging of the gaps and reduced vigilance risks thereby reducing corruption.

It has contributed towards huge savings on training costs at the same time has resulted in improved job performance, greater job satisfaction, and overall organizational success.

Some other benefits of the initiative have been listed below:

- √ The latent knowledge of the entire Organisation has been captured for posterity.
- √ Uniform knowledge has been made available across functions and divisions and hence democratizing knowledge.
- √ Employees have been empowered to create their own learning pathways thereby leading to better employee engagement.
- √ The portal can track employee progress, providing valuable insights into learning trends, areas of improvement, and potential future training needs.

The eLearning content has been developed in a format (SCORM 1.2) and can be easily imported into IOCL LMS. Alternately, Organisations can also be onboarded on our LMS and provided access to our learning content. The initiative can be easily replicated in any Organisation, by customizing / designing the content to suit their specific needs.



CAPACITY BUILDING INITIATIVES



1. Introduction and background

Well-functioning institutions in any country largely determine the quality of life of its citizens. For these institutions, most precious assets are its employees. Providing them with right knowledge and relevant skill-set is imperative for long term success of the institution. It all boils down to having a training & capacity building system within the institution that is well adjusted to the emerging needs of its stakeholders. Such a training system caters to the development of a society and individual, with deep commitment towards Nation.

The Central Vigilance Commission is a specialized institution looking after vigilance administration of Central Govt. Organisations. The full time CVOs posted in various Govt. Departments and CPSE are field arms of the Commission and report to the Commission. The Commission strongly believes that successful organisations are those whose training system is robust. Capacity building and sensitization at all levels and across all functional areas is important. Public officials should be made aware of their duties and responsibilities, code of conduct, rules and regulations through regular training and awareness programmes.

The Commission gives vital importance to the training as it helps the officers and staff to be equipped with the right kind of skills, knowledge and abilities to perform their assigned tasks so that they become better qualified to perform their jobs and contribute to the efficiency and effectiveness of the organisation. Timely imparted training also eliminates misconduct due to negligence and unwanted delays in vigilance cases. Training is equally important for the development of



one's attitude towards work and life by acquiring additional knowledge which enhances the officers' confidence in every aspect of life.

2. Initiative for capacity building

Towards this end, the Commission has partnered with leading national and international institutions. The contemporary training delivered by these institutions of excellence, focus on familiarization with global best practices relating to different spheres of activity. Training on vigilance administration has remained the preferred domain of capacity building by the Commission. However, of late the Commission's emphasis is on preventive and participative vigilance and therefore, training programmes have been designed to built capacities to address and administer preventive and participative Vigilance.

Capacity building for CVOs

The CVO heads the Vigilance Division of the organisation concerned and acts as a special assistant/advisor to the chief executive in all matters pertaining to vigilance. He also provides a link between his organisation and the Central Vigilance Commission on one hand and his organisation and the Central Bureau of Investigation on the other. Vigilance functions to be performed by the CVO are of wide sweep and include collecting intelligence about the corrupt practices committed, or likely to be committed by the employees of his organisation; investigating or causing an investigation to be made into verifiable allegations reported to him; processing investigation reports for further consideration of the disciplinary authority concerned; referring the matters to the Commission for advice wherever necessary, taking steps to prevent commission of improper practices/misconducts, etc. Thus, the CVOs' functions can broadly be divided into three parts, viz. (i) Preventive vigilance; (ii) Punitive vigilance; and (iii) Participative Vigilance.

Regular training programmes for CVOs

- (i) 2-day Induction training at the Commission
- (ii) 3-day training on Vigilance Investigation at sardar vallabhbhai patel national police academy, Hyderabad
- (iii) 3-day training on Preventive Forensics at national forensic science university, Gandhinagar
- (iv) 2-week Anti-Corruption Training programme at international anti-corruption academy, Austria

Capacity building of officers other than CVOs

Over a period of time, the Commission has observed delays in departmental inquiries. The delays could be because of lack of knowledge of conducting inquiries, preparation of memorandum of chargesheet, supporting statement of imputation documents and witnesses etc. Similarly public procurement is an area fraught with pitfalls. Capacity building in these identified areas is of much help in bringing down the delays and reducing complaints. Customised training modules have been developed by the Commission in consultation with all stakeholders.

Commission has empanelled several institutes of repute to deliver these modules uniformly to the vigilance functionaries of organisations under the jurisdiction of the Commission. It may be stated that regular training will enhance awareness and reduce procedural violations / inadvertent errors arising out of a lack of awareness. Sharing of best practices through the training platform is an effective means of effective preventive vigilance. Commission is taking all efforts to create awareness among all stakeholders.



Regular trainings programme for officers other than CVOs

- (i) 5-day training on Vigilance Administration at CBI Academy
- (ii) 3-day training for investigating officer / presenting officer by empanelled institutions
- (iii) 3-day training on Public Procurement at AJNIFM, Faridabad
- (iv) 3-day training on Preventive Forensics at NFSU, Gandhinagar

3. Capacity building campaign under vigilance awareness week-2023

As a prelude to Vigilance Awareness Week-2023, the Commission is undertaking a Capacity Building campaign for Organisations under the jurisdiction of Commission. During the campaign these Organisations have been mandated to conduct training programmes on identified themes. As the targeted Organisations may not have suitable trained resource persons, Commission is organising Training of Trainers (ToT) programmes to develop a pool of trained resource persons in the Organisations. These resource persons would further conduct respective trainings within their organisation. Domains identified under Training of Trainers (TOT) are mentioned below:

- (i) Training of IOs/POs
- (ii) Training on Public Procurement
- (iii) Training on Preventive Vigilance
- (iv) Training on Ethics and Governance
- (v) Training on Cyber Hygiene and Security

Nominations for TOT in these domains were invited from 186 organisations where full-time CVOs are is posted. So far 1042 nominations have been received and 920 resource persons have undergone trainings at following

identified training institutes till September 2023:

- (i) CBI academy, Ghaziabad
- (ii) Arun Jaitely National Institute of Financial Management, Faridabad
- (iii) Indian Institute of Management, Visakhapatnam
- (iv) State Bank Staff College, Hyderabad
- (v) Management Training Institute, SAIL, Ranchi
- (vi) Hindustan Petroleum Corp Ltd. Training Academy
- (vii) Indian Institute of Bank Management, Guwahati
- (viii) National Institute of Electronics & Information Technology (NIELIT)
- (ix) Delhi Metro Rail Academy

“Vigilance is everyone’s business.” This is a message that needs to be told in so many ways. Large companies are prone to both inertia and entropy; it can be tough to get started, and even tougher to keep things moving in the same direction. It is the firm belief of the Commission that TOT carried out under the Capacity Building campaign:VAW-2023 would set the ball rolling and the message would reach to the last man in the organisation.

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ONLINE VIGILANCE CLEARANCE SYSTEM



1. Introduction and background

Vigilance clearance is a routine process in any Government Organisation/ Public Sector Undertaking. The Process is a mandatory part in providing NOC for resignation, outside employment, sabbatical, higher studies, promotion, Passport, Visa etc. The vigilance clearance as per the purpose is processed, considering the vigilance status of the employees.

If this process is done in physical form, it will not only require a substantial amount of time but also involvement of large quantum of manpower from HR and Vigilance Functions to scrutinize the personal file and vigilance records and further movement of file across the country as well as abroad.

To overcome this, an online system has been developed integrating the company's three online systems. One system is Enterprise Resource Planning (ERP) wherein vigilance status and related records of employees is maintained by the Corporate Vigilance function, second is Annual Property Return (APR) module and third is E-Office (PRADIP) in which a separate module has been developed to process the vigilance clearances.

The separate vigilance clearance module enables standard processing of multiple clearances at a time by fetching data from the ERP module. This online system has enabled fast and hassle-free processing of clearances from a centrally located HR & Vigilance with minimum manpower.

The vigilance clearance process involves checking the status of the employee's vigilance cases, penalties, suspension and, inclusion of his/her name in Agreed list, or ODI list. These statuses are being maintained by Vigilance function and shared with HR to incorporate it in the personal file of the employee.

To process the vigilance clearance request of employees, status of APR and vigilance status is to be checked in the records maintained in their respective sites or sites where employees were posted before. Subsequently, the status is sent to corporate vigilance office and put up for approval of HOD vigilance or CVO according to the purpose of vigilance clearance.

The approved vigilance status is provided to the concerned HR function for further processing as per approved policy of vigilance clearance. This entire process takes a lot of time for each case and even in the case where no vigilance case/action has been taken against the individual.

To bring about faster, standard, transparent, and centralized processing of vigilance clearance created a need of an online system.

2. Implementation

After receipt of service request from employee (for passport, visa etc.) or from management (for promotion, superannuation etc.) in the human resource united shared services the list of employees with relevant details are fetched in the vigilance clearance module. After submission of details first the system checks the status of APR from APR portal in case of non-submission of APR an auto generated mail is sent to the respective employee.

If APR is submitted then the system checks for any entry in vigilance database of concern employee, if no entry is found in the database the vigilance clearance is processed automatically. In case of any entry in vigilance database the request is



auto forwarded to corporate vigilance officer authorized to process the vigilance clearance in the system. After receipt of multiple vigilance clearance requests from different HR sections by authorized vigilance officer, the vigilance status is checked in the ERP module and fetched in the relevant column and forwarded to reviewing officer. Reviewing officer reviews/cross checks the details and puts up the vigilance status of employees for approval of competent authority. After approval the consolidated file is split as received from different HR sections and forwarded to the concerned HR function. Based on the approved vigilance status of the employee, HR process/reject the service on case-to-case basis.

Process is live and is used for vigilance clearance process across NTPC. Till date, around 54,000 Vigilance Clearance applications are processed through this system.

3. Impact and benefits of the system

This system has enabled us to process the clearance of all the employees centrally with a lead time of 1-2 days only. Following are the key benefits of the system:

- a. Processing time:** No physical movement of papers reduced the lead time for providing vigilance clearance to eligible employees. Vigilance clearance of employees with no vigilance history can be generated in real time at HR end only.
- b. Standardization:** Steps involved in the process of providing clearance have been predefined with roles of HR and Vigilance officials. Filing of Annual Property Returns has been made mandatory before initiating the clearance process without any exceptions.
- c. Manpower reduction:** Before the implementation of the system a significant manpower of HR and Vigilance functions were engaged in providing the vigilance clearance. The new online system is a lean system in respect of manpower and processes, which require only one manpower each from

HR and Vigilance function for handling same quantum of work in a more efficient way.

- d. **Repository system:** The entire system is a repository system and data of vigilance clearance can be retrieved from the system as and when required.
- e. **Audit Trail:** For each file/ annexure created in the system, complete audit trail with timestamp is available. It captures the complete sequence of action taken by users during processing of any activity in the system.
- f. **Transparency:** There is absolute transparency as anything once written on the file cannot be changed or undone. As all the processes involved in providing vigilance clearance are online and with a repository system makes it more transparent and accurate.

As the system is driven by the data maintained in the system and no physical scrutiny of the file is required, reduces the possibility of missing a detail related to the employee. The possibility of error in generation and fetching of records is very less as the records are entered by one officer and reviews by another officer. Tempering is also not possible as all records/ documents/ approvals are stored digitally in a secure central repository.

The system is highly beneficial for those Organisations where employees' strength is significant and scattered in different locations. The system can be replicated easily in other Organisations where ERP module is being used and vigilance data of employee can be maintained therein.

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'E-SAR'- ONLINE TRACKING OF STAFF ACCOUNTABILITY



1. Introduction and background

Banks, as regulated financial institutions, examine staff accountability invariably in all cases of performing assets which turn non-performing, above a certain threshold. The exercise is conducted with a view to understand whether the reason for change in the classification of asset from performing to non-performing is due to the employee's involvement in a lapse, which may be procedural or one with malafide intention. Therefore, the proper and timely Examination of Accountability of Staff is a critical part in NPA Management of any Bank.

Examination of staff accountability is always done at a level higher than the sanctioning authority for the said loan. Hence, Recovery Department (the Corporate Department at Head Office level for staff accountability exercise) has to simultaneously track the raising and examination of staff accountability at several layers of authority cutting horizontally through the Bank, involving voluminous amount of data.

The Manual System of tracking examination of staff accountability in the UCO Bank suffered from severe deficiencies of data collation. To know the exact number of cases pending for examination of staff accountability at various levels of the Bank was almost impossible. It was also observed that staff accountability examination in certain instances had been pending for significantly longer than the prescribed time-lines within which the entire exercise was to be completed. Particularly alarming were cases cropping up against employees on the verge of retirement.

In sum total, there was tardiness and subjectivity with which the exercise of staff accountability examination was being conducted. It reflected an apathetic approach, it was low on priority and generally considered an unpleasant and thankless job. This delayed the weeding out of persons from the Organisation, whose actions may have been dictated by less than bonafide reasons.

Also, those employees whose actions *could* be defended as genuine business decisions, were not being integrated back into the Organisation swiftly enough, as there was no structured mechanism to ensure adherence to timelines or due processes in examining staff accountability. This impacted the morale of the honest employee.

Also, as is evident, especially in retirement cases, a thorough examination of staff accountability took a back seat to ensuring that the same is completed as swiftly as possible. It was really befitting to say that in all such cases **justice delayed was indeed justice denied**.

Online tracking of Staff Accountability or **e-SAR** was, thus, conceptualized by Vigilance Department as a means to address precisely these issues by putting into place a system for end-to-end monitoring of staff accountability cases. It begins with the date on which an account turns into NPA, right through to completion of Staff Accountability for the concerned NPA account by Committee of Executives (COE) at the Zonal Office and Head Office levels. The focus has been on ensuring adherence to prescribed timelines as well as identification of the level at which the delay is being effected.

2. Implementation

Vigilance Department, in close coordination with Recovery Department (the nodal department at Head Office level for staff accountability exercise) and Department of Information Technology, has designed and put into operation



the in-house 'e-SAR' in Single Sign-On environment. The portal is **live since 01.09.2023** and training is underway to acclimatize users with the new system for a smooth transition from the earlier Manual System. Access has been provided to Head Office i.e. Vigilance Department, Personnel Services Department and Recovery Department, all of which have put in their unique and substantial suggestions/ amendments to the operational aspects of 'e-SAR'.

Process flow:

- ✓ NPA accounts identified in CBS are populated in tracking application.
- ✓ Vigilance Department/ Zonal Head/ Field Inspectorate Head/ Recovery Department, Head Office raise SAR on different sources like inspection report, written complaints, special reports of auditors, review of NPAs etc. (data can be manually entered in cases which are not auto-populated.)
- ✓ Competent Authority assigns the identified NPA to employees for submitting investigation report.
- ✓ The copy of investigation report is uploaded and details are updated in tracking application.
- ✓ Zonal Office Recovery Department places the details in Zonal Office COE/ Head Office COE committee along with recommendation to initiate SAR or close SAR.
- ✓ Those marked for SAR then receive an auto-generated SAR Tracking ID for subsequent reporting.

3. Impact and benefits

The envisaged **impacts** and **benefits** of e-SAR are delineated below:

- ✓ **Transparency** and **non-discretion**, all cases will be examined without any preferential treatment and identification. Subsequently action, will be effected at the level at which examination of SAR is being delayed. Manual

intervention for NPA accounts is proposed to be done away with entirely.

- ✓ **Mitigation of compliance risk**-adherence to time norms as set by regulatory authorities with regards to examination of staff accountability.
- ✓ **Objectivity and efficiency** by tracking process flow of examination of staff accountability.
- ✓ **Organizational welfare**-by mitigation of operational risk, reputational risk and/ or financial risk by prompt action against employees/ removal of those employees whose actions are not defensible as taken under genuine business considerations.
- ✓ **Cross departmental collaboration and referencing**-for the process of examination of staff accountability.
- ✓ **Strategic decision making**-through access to comprehensive information/ data on staff accountability examination with e-SAR portal serving as a dashboard for the same.
- ✓ Employee engagement-through **protection of employee morale** as no employee will be subjected to an agonizing long wait, while staff-accountability is being examined.
- ✓ **Demonstration effect** on fence-sitters who may be discouraged from indulging in behavior which will invite timely vigilance action.

e-SAR which leverages technology is believed to have a multi-pronged effect on UCO Bank as far as efficiency and streamlining the initiation point and on the major areas of vigilance administration. Further, as staff accountability encompasses areas as varied as complaint management and audit and inspection, it is a certainty that the benefits derived from e-SAR will be manifold.

VIGILANCE PERCEPTION INDEX A TOOL FOR QUANTIFYING COMPLIANCE



1. Introduction and background

Preventive Vigilance aims at bringing systemic improvements through the study of existing systems and procedures in an Organisation to identify vulnerable areas and suggesting mitigating measures thereof. Guidelines and Procedures in an organisation define their essence of work culture and expected conduct. It is imperative to ensure the adequacy and applicability of these structures with respect to dynamics of organisational ecosystem. Adherence to laid down policies by personnel in an organisation is vital to its sustenance.

Vigilance Perception Index- as a concept and tool, transpired from the requirement to assess the compliance levels. It was launched in June 2021 by Vigilance Department, Union Bank of India, to measure compliance adherence of its 125 Regional Offices (now 134) and 18 Zonal Offices in key identified Compliance & Vigilance Parameters.

Ideation behind devising the tool was to assess compliance status at various levels in organisation as well to arrive at standard compliance level for organisation as a whole. Prevention is considered better than cure in Banking sector thereby making the role of preventive measures cardinal for controlling menace and unwarranted activities in the institution. Having a complied work force in itself can obliterate the possibility of delinquency.

Vigilance Perception Index, with its quantifiable attribute, can provide overall status of compliance at different levels/blocks of an organisation. Variables are modifiable as per their bearing with specific departments/verticals and thus serves as comparative as well as motivating tool for the organisation.

Earlier, no means was available to seek comparison between various controlling offices and cumulative impact on Bank as a whole. This prompted the need for devising a tool which can provide a system wherein performances can be measured and ranked in quantitative terms for and within the Bank.

The manual computation process of VPI involves minimum input. Most important step is to identify the applicable criteria as per the Organisation and department, based upon which specific formula will be arrived at. Thereon, the variables can be modified in terms of nature and number and utilized.

In UBI, variables comprising of Banking operations covering both Credit & Non-credit areas, are selected as parameters for calculation of VPI.

VPI acts as a tool for quantifying the % of adherence to system and processes, as applicable based on their performance on listed variable and key responsibility of officers at different levels. It is a quarter-on-quarter based measurement of progress in disposal of key compliance assignments. The tool initially was based on 8 key compliance parameters. With constant feedback, modification in policies and organisational structure, VPI has also been calibrated accordingly and at present it consists of 11 parameters.



2. Implementation

Computation of VPI & functioning

Presently as per the implemented process in the Bank, Regional Offices (ROs) and Zonal Offices (ZOs) are ranked based on their VPI scores and amongst them, top performing ROs and ZOs are duly appreciated. In Quarterly Zonal Vigilance Committee Meetings, review of performance of ROs & ZOs their VPI scores is conducted by CVO/ACVO. On the basis of VPI scores of ZOs, a comprehensive VPI for Bank as a whole is computed and the progress report is placed before the MD & CEO for perusal.

Bank has identified 11 key parameters to cover under VPI score. For allotting the score under each parameter, the agendas due for completion acts as the basis with respect to actual number of records completed within prescribed timelines (as per Bank's policy). The formula applied for computation is- **“Marks under a parameter = Total Nos. of records completed / Total Nos. of records due”**

Arrived scores are converted into % for absolute comparisons of performance within and inter-regions/zones. Negative scoring concept is kept for the instances of frauds wherein deduction of 10 % from VPI for the quarter per instance of fraud, is done.

All the stated compliances by RO/Zo are cross-verified by the Vigilance Officer posted in that office, with physical records. In case of any deviation the score is recalculated as per available records. VPI score for ZOs is average VPI scores of all the ROs under its jurisdiction and similarly the score for Bank is arrived at.

Vigilance perception index sample

S. No.	Parameters Name of the Concerned Office under scrutiny-	Nos. of record		VPI	
		Due	Completed	Score	
				Obtained	Out of
		a	b	c=(b/a)Xd	d
1.	Timely examination of Staff Accountability in NPA accounts of Rs.1.00 Crore & above (Nos of NPA Account)	15	12	8	10
2.	Timely examination of Staff Accountability in Quick Mortality cases above Rs.1 lakh (Nos of Quick NPA Account)	5	5	10	10
3.	Credit Monitoring Visits to the Branches with Spurt in Advances (>20%) during quarter under review (Nos. of Branches)	9	9	10	10
4.	Branches conducted reappraisal of Gold Loans sanctioned in Previous Quarter (Nos. of Branches)	45	40	8.88	10
5.	Holding monthly Preventive Vigilance Committee (PVC) Meetings during quarter under review (Nos. of PVC meetings)	180	170	9.44	10
6.	Timely submission of Compliance to the Preventive Vigilance Awareness Visit (PVAV) reports (Nos. of COR)	50	37	7.4	10
7.	Surprise Cash Verification conducted at Branches by RO during quarter under review (Nos. of Branches)	60	60	10	10
8.	Onsite ATM reconciliation submission by Branches (Nos. of Branches)	50	45	9	10
9.	Attending offsite transaction monitoring alerts raised during the quarter (Nos. of alerts raised)	350	300	8.57	10
10.	Scrutiny of control return for limits sanctioned by Sanctioning Authorities under their delegation (Nos. of Branches having delegated powers)	60	40	6.66	10
11.	Bank Mitra Points visit by Branches and scrutiny of reports by RO (Nos. of BC points)	300	290	9.66	10
	Total Score obtained (out of 110) (A)			97.61	110
	% VPI Score (A/110X100) (B)			88.73%	
	Nos. of fraud declared during the quarter (C)			1	
	(10% for the quarter per instance of fraud)				
	Final score- [B-(CX10)]			78.73	
	VPI Score			78.73	



3. Impact and benefits

During quarterly review meets, it has eased the process of assessing the Controlling Offices since both intra and inter comparisons can be deliberated upon by Competent Authorities. They are able to track the end-to-end process of variables such as credit appraisals, Credit monitoring visits, Surprise verifications, disciplinary matters, investigations, staff accountability, etc. In addition to this, it provides an overview to ROs & ZOs of the areas they are required to strengthen their compliance and monitoring. This has significantly improved the overall compliance levels in the Bank, aided the monitoring at field level, speeded-up the process of disposal, reduced the TAT for submission of compliance and rectification of observations, etc.

Initially, the Compliance were established at medium range, and thereafter with enhanced awareness and quantification of performance, quarter-on-quarter progress is witnessed.

In a short span, the compliance levels have raised to high levels for Bank as a whole. In long run, with real time update of system and procedures, misutilization of loopholes will be checked and ultimately incidences attracting punitive actions will reduce significantly. It will also benefit organisation in circumventing the reputational risk, legal risk and financial risk. Going forward, VPI based monitoring can be applied to employees, wherein they can be reviewed and appreciated based on individual VPI score, capacity building and trainings, then can be undertaken.

Present VPI system can be replicated by all PSBs with minimum modification since the applicable procedures and policies are based upon common grounds laid down by RBI. This will create an ecosystem of cumulative compliance in entire Banking sector. Respectively, it can be replicated and modified by other industries/Organisation as per their identified key variables and executed accordingly. The reliability of the tool solely depends upon the identified key areas and their applicability.



AN OBJECTIVE ASSESSMENT OF EFFICIENCY OF VIGILANCE ADMINISTRATION



1. Introduction:

The battle against corruption is fought on many fronts. An oversight mechanism often referred to as vigilance administration is at the fore front of this battle. Vigilance is defined as watchfulness and alertness. Vigilance administration in any organisation is an integral function like any other function of management, such as finance, personnel, operation, marketing, material, and contracts, etc. If the vigilance set-up is effective in an organisation, it will certainly ensure the functioning of the other segments in an efficient way.

Vigilance administration comprises of preventive and punitive anti-corruption measures. It includes detecting irregularities, analysing and finding out reasons for such irregularities and making effective systemic improvements to curb them. It also entails identifying the public servants responsible for misconduct and taking appropriate punitive actions.

2. Importance of vigilance administration:

Government Ministries, Departments and Public Sector Banks / Undertakings deal with substantial amount of public fund. Thus, these organisations as well as their employees are responsible to the public for safeguarding the fund invested and rendering the expected benefits either in cash (as dividend on the investment) or in kind (service to the public). Unlike private Organisations, where profit is the major motive, Government organisations are required to provide their services (or to conduct their business) in a free, fair and transparent manner while focussing on commercial prudence also. The decisions taken in



Government organisations must not only be fair but also appear to be fair. For ensuring this, it becomes necessary to lay down procedures and follow those as well. It is necessary for all Government employees to appreciate the need to follow procedure and keep supporting records in case they deviate from the laid down procedures-for substantiating the decision in case same is scrutinized at a later date.

A well-established mechanism of monitoring the broad functioning of Vigilance Department of various Ministries / Departments / Organisations on several parameters by the Commission through Quarterly Performance Report submitted by Chief Vigilance Officers is already in place. However, in order to further improve the system of monitoring and with a view to invoke consciousness amongst various organisations to remain vigilant and efficient towards these issues, need was felt to conduct appraisal of the organisations on how efficiently their Vigilance Department is functioning and how much support is being extended by Management to its Vigilance Department.

3. Consideration of performance indication and methodology:

Efficiency assessment of any function is important to ascertain the level of achievements / compliance vis-a-vis the targets / norms and also to find out the opportunities for improvement.

With the above purpose in view, the idea of performance appraisal of Vigilance units of various organisations emerged. If a common ground is found where the Vigilance function could be appraised, such appraisal could be developed as a management tool to create a sense of healthy competition amongst Vigilance units of organisations. This would eventually result in greater support of Management to the Vigilance function and better monitoring of the Vigilance department by the CVOs.

Considering the above background, it was decided to devise a methodology through which performance of the Vigilance functioning of the organisations could be appraised based on their efficiency in Vigilance Administration.

Vigilance activities being broad based, numerous dimensions and indicators which could be taken into account for appraising the performance of Vigilance administration of the organisations were deliberated upon. After detailed discussions, it was decided to focus on two most critical parameters of Vigilance Administration i.e. processing of complaints and processing of departmental inquiries. These parameters have well defined timelines and are often the areas in which delays are observed, leading to inefficiency in the system.

Step-wise time taken in processing of departmental inquiries and time taken in processing of complaints was obtained from the organisations and the received data was analysed in detail which revealed that the number of complaints and departmental inquiries in the organisations are varying in a very broad domain with high concentration of data at lower end of the spectrum. Many organisations also reported Nil Departmental Inquiries and / or complaints.

The detailed Methodology is described in the Appendix.

4. Categorization of Organisations:

After finalising the methodology and placing organisation's under the three categories (i) Public Sector Undertakings, (ii) Public Sector Banks & (iii) Government Ministries / Departments / Autonomous Organisations / Statutory Bodies, the detailed criteria for appraisal of performance of Vigilance administration of the organisations was deliberated and finalised using statistical means. Percentage scores of various organisations were computed by assigning due weights to the time taken by the organisations in dealing with critical steps in the departmental inquiry



process and time taken in processing of complaints; with highest marks being assigned to timely processing of departmental inquires and complaints; and gradually reducing marks being assigned to segment wise delay in processing of cases. For 'old pending cases' and 'very old pending cases', the concept of assigning 'Nil' marks and 'Negative' marks respectively was also implemented.

The performance appraisal of Vigilance administration of the organisations has been conducted on the basis of detailed methodology and the list of organisations who have fared well in the respective categories is given below:

A. Top 5 Public Sector Undertakings - Efficiency in Vigilance Administration

1. Steel Authority of India Ltd.
2. The Oriental Insurance Co. Ltd.
3. NTPC Ltd.
4. The New India Assurance Co. Ltd.
5. NLC India Ltd.

B. Top 5 Government Ministries/Departments/ Autonomous Organisations / Statutory Bodies- Efficiency in vigilance administration

1. Deendayal Port Authority
2. Khadi & Village Industries Commission
3. M/o Home Affairs
4. Chennai Port Authority
5. Delhi Jal Board

C. Top 5 Public Sector Banks - Efficiency in vigilance administration

1. Canara Bank
2. UCO Bank
3. Punjab & Sind Bank
4. State Bank of India
5. Indian Overseas Bank

The main purpose of the whole exercise has been to engage the top management in creating efficiency in the systems of governance specially vigilance related activities. Depending upon the result of this exercise, further tools for aiding this exercise for next cycle will be developed to make it more comprehensive.

5. Root-cause analysis:

For every organisation which has reported at least 1 departmental inquiry and 1 complaint, an analysis was done to find out whether the Vigilance administration of the organisation fared better in processing of complaints or in processing of departmental inquiries.

Accordingly, the overall percentage scores of Vigilance administration of various organisations were analysed considering the break-up of score of processing of Complaints and processing of Departmental Inquiries. It was seen that for around 80% of the organisations, the score in processing of complaints was better than the score in processing of departmental inquiries.

If the reasons for such a trend are analysed, it is seen that investigation / processing of complaints lies within the jurisdictional domain of the Vigilance Unit of the organisation (subject to the documents and responses being provided to Vigilance in a timely manner).



On the other hand, the processing of Departmental Inquiry falls under the Vigilance and administrative domain of the organisation. Prolonged pendency of Departmental Inquiry may lead to inefficiency in the system and frustration for the Charged Officer, who may or may not be found guilty at the end of the process or continuation of the bad apple in the organizational set up, corrupting others.

Thus, there is need to increase the administrative supervision of the process of Departmental Inquires both by administrative authorities and by Vigilance.

6. Roadmap and key takeaway

Performance appraisal of Vigilance administration of the organisations has been done considering the lower thresholds of at least 4 departmental inquiries and 26 complaints (details presented in appendix). With the aim of achieving overall improvement in Vigilance administration in other organisations under the purview of the Commission, efficiency of Vigilance Administration of all the Organisations who have submitted the data has also been assessed. The Organisations which have not provided the required data regarding departmental inquiries and complaints despite being reminded for the same will be considered for Management Audit of Vigilance Units in the near future.

While the methodology adopted for performance appraisal has addressed the predominant part of vigilance activities, certain preventive vigilance checkpoints (with due weightage) may be included in the methodology for arriving at next cycle of performance appraisal of Vigilance administration of the organisations.

Organisations may analyse the trend of complaints received during past few years to identify the areas in which complaints have increased and take remedial actions for settling the loop holes/issues identified.

It is largely seen that organisations who are using information and communication technology (ICT) based systems in processing the complaints are in position to process the complaints in timely manner. Other organisations may take a considered view to adopt and develop ICT based systems for processing the complaints.

Delay in finalisation of the departmental inquiry is a double edged sword which cuts the efficiency of organisation as it helps the corrupt to continue in organisation with out any penalty and on the other side reduces the efficiency of officials who have been implicated on procedural lapses or genuine mistakes. Organisations who are taking more than prescribed time in finalising the departmental inquiry must try to replicate systems and procedures adopted by organisations who are processing the departmental inquiries efficiently.

The main purpose of the whole exercise has been to engage the top management in creating efficiency in the systems of governance specially vigilance related activities. Depending upon the result of this exercise, further tools for aiding this exercise for next cycle will be developed to make it more comprehensive.





Appendix

APPROACH & METHODOLOGY ASSESSMENT OF VIGILANCE ADMINISTRATION

1. Context and selection of parameters

The organisations within the jurisdiction of the Central Vigilance Commission are very different in terms of size, work force, nature of activities, public interface etc. Creating a common platform on all above parameters would be very difficult and could give a very skewed result. After detailed deliberations, it was decided that the focus should be on few critical parameters rather than considering multiple parameters of relatively lower relevance.

After due analysis and deliberation timely disposal of complaints and timely disposal of disciplinary proceedings have been identified as two parameters which are cutting across in Vigilance Administration, and delays in the above aspects adversely affect the organisation. Timely disposal of complaints lodged with Vigilance Department and timely disposal of disciplinary proceedings which have been initiated based on Vigilance investigations gives confidence to the employees working in the organisation that there won't be unnecessary harassment due to prolonged state of uncertainty.

2. Data source and data period

- A. After deciding the above two broad parameters, deliberations were held on the sub-categories these parameters could be broken up into; the period for which information could be obtained and the format in which information could be obtained.

- B. Since the process of data collection for the purpose of appraisal of organisations based on Vigilance Administration was being initiated in January 2023, keeping in view the prescribed timelines for disposal of complaints and departmental inquiries, it was decided that data collection may be done for the complaints received by Vigilance Unit of the organisation in the year 2021 as all these complaints (even considering the possibility of extreme delay in processing) should have been disposed of by the end of year 2022. Similarly, it was decided that data collection may be done for departmental inquiries instituted in the organisation in the year 2021 considering that even the delayed departmental inquiries should have been disposed of by the end of the year 2022.
- C. Considering the timelines stipulated in CVC Circulars for disposal of complaints and departmental inquiries, it was decided to seek information regarding the time taken by the organisation in each of the major steps of processing of departmental inquiries; and the time taken by the Vigilance Unit of the organisation for furnishing Investigation & Report (I&R) to the Commission in complaints where I&R had been sought by the Commission and the time taken by the Vigilance Unit of the organisation in disposal of other complaints received by them.
- D. It was also decided to seek detailed information regarding those pending complaints which were received by the Vigilance Unit of the organisation prior to the year 2021; and those pending departmental inquiries which were instituted in the organisation prior to the year 2021.
- i. Accordingly, both full time and part time CVOs were requested to provide requisite data in the prescribed formats.
 - ii. As regards Departmental Inquiries, information was sought from the Vigilance unit of the organisations in the following format:
 - (a) Departmental Inquiries (including those referred by CVC) instituted during the period from 01.01.2021 to 31.12.2021 and their disposal



S. No.	Details on departmental Inquiries	Inputs to be provided by the Organisation
1.	Total number of Departmental Inquiries instituted in the Vigilance Unit of the Organisations during 01.01.2021 till 31.12.2021	
2.	In respect of the above DIs, Inquiry Officer (IO)/ Presenting Officer (PO) appointed by the Organisation within	02 months*
		Between 02 to 04 months
		After 04 months
		Yet to be appointed
3.	In respect of above DIs, final report submitted by the IO within	06 months*
		Between 06-09 months
		Between 09-12 months
		Yet to be submitted
4.	Issuance of Final Order in the above DIs	Within 02 months of submission of IO report
		Between 02-04 months of submission of IO report
		Between 04-06 months of submission of IO report
		Yet to be issued

*Stipulated in CVC Circular No. 18/12/20 dated 14.12.2020

- (b) Details of pending Departmental Inquiries instituted prior to the year 2021 (as on 31.01.2023) including CVC referred cases in the following proforma (separate proforma for each pending Departmental Inquiry):-

S. No.	Details of departmental inquiries	Inputs to be provided by the Organisation
1.	Date of receiving of FSA from CVC or the Competent Authority in the Organisation	
2.	Date of appointment of IO/PO in the said DI	
3.	Date of submission of IO Report in the said DI	
4.	Reasons for delay, if DI has not been finalized till date	

iii. As regards Complaints, information was sought from the Vigilance unit of the organisations in the following format:

(a) Disposal of complaints received during the period from 01.01.2021 to 31.12.2021

S. No.	Action taken in the complaints received	Inputs to be furnished by the Organisation	
1.	(a) Total complaints [including complaints under PIDPI resolution] received from the CVC for I&R during the period from 01.01.2021 to 31.12.2021		
	(b) I & R furnished to the Commission	Within 03 months**	
		Between 03 to 06 months	
		After 06 months	
		Yet to be furnished	
2.	(a) Total complaints [including complaints under PIDPI resolution] directly received in the Organisation including those forwarded by the Commission for NA during the period from 01.01.2021 to 31.12.2021		
	(b) Total complaints disposed of	Within 03 months**	
		Between 03 to 06 months	
		After 06 months	
		Yet to be disposed of	

** Stipulated in CVC Circular No. 004/VGL/020 (pt) dated 01.07.2019 and CVC Circular no. 021-AIS-1(2) dated 19.04.2021

(b) Details of pending complaints prior to the year 2021 in the following proforma (separate proforma for each pending complaint):

S. No.	Details of complaints	Inputs to be provided by the Organisation
1.	Date of receipt of complaint in the Vigilance Unit of the Organisation including those forwarded by CVC for NA	
2.	Date of submission of preliminary inquiry report in the said complaint	
3.	Reasons for non-disposal of the said complaint till date	

3. Analysis of data received from organisations

Data in the prescribed format was received from 145 full time CVOs and 91 part time CVOs. Deliberations were held on various facets of the data received from the organisations.

From the received data, the following points are noteworthy:

- There are numerous organisations which have reported Nil data either for departmental inquiries or for complaints or for both.
- The number of Departmental Inquiries initiated in organisations varies from Nil to 939.
- Total 111 organisations have instituted one or more Departmental Inquiries.
- On analysis of the distribution of departmental inquiries reported by the above 111 organisations (having at least 1 departmental inquiry), it is seen that there is a concentration of organisations near the lower end of the spectrum i.e. 20 organisations have only 1 departmental inquiry, 14 organisations have only 2 departmental inquiries and 14 organisations have only 3 departmental inquiries. 19 organisations have reported departmental inquiries in the range of 4 to 9. 30 organisations have reported departmental inquiries in the range of

10 to 99. The number of Departmental Inquiries instituted is 100 or more in 14 organisations.

- On deriving the mean and median of departmental inquiries amongst these 111 organisations having at least 1 departmental inquiry, it is found that the mean (or average) number of departmental inquiries is 45.23 while the median number of departmental inquiries in these organisations is 5.

The highest occurring frequency of departmental inquiries in these organisations is 1 (i.e. occurring in 20 organisations).

- The number of complaints received in the organisations varies from Nil to 9487.
- Total 190 organisations have reported one or more complaints.
- On analysis of the distribution of complaints reported by the above 190 organisations (having at least 1 complaint), it is seen that there is a concentration of organisations near the lower end of the spectrum i.e. 8 organisations have only 1 complaint, 8 organisations have only 2 complaints, 33 organisations have reported complaints in the range of 3 to 9 and 33 organisations have reported complaints in the range of 10 to 25. 53 organisations have reported complaints in the range of 26 to 99; 36 organisations have reported complaints in the range of 100 to 499 while 19 organisations have reported 500 or more complaints.
- On deriving the mean and median of complaints amongst these 190 organisations having at least 1 complaint, it is found that the mean (or average) number of complaints 255.27 while the median number of complaints in these organisations is 33. The highest occurring frequency of complaints in these organisations is 1 & 2 (i.e. occurring in 8 organisations each).
- There is no direct correlation between the number of complaints received in the Vigilance unit of the organisation with the number of departmental inquiries.



For instance, on one hand, only 2 departmental inquiries have been initiated in an organisation where 931 complaints have been received and no departmental inquiry has been initiated in an organisation having 749 complaints; while on the other hand 544 Departmental Inquiries have been instituted in an organisation which has received 389 complaints and 939 departmental inquiries have been instituted in an organisation which has received 734 complaints.

- The data provided by the Vigilance unit of the organisations was broadly found to be in consonance with the data available in the Commission through Quarterly/Annual Performance Reports.
- The data on the work force of the organisations was also collected but no meaningful correlation could be established. It became clear that even some big organisations have limited number of complaints or departmental inquiries and vice versa. Thus, the work force and the size of the organisation doesn't have any direct linkage with its vigilance activities.
- Public interface and award / execution of contracts / projects are two main sources of complaints and Departmental Inquiries. Thus, the factors like volume of commercial activity of the organisation, extent of public dealing and the sector in which the organisation operates have a significant bearing on the complaints received in the organisation.
- Considering the highly skewed nature of data for both Departmental Inquiries and Complaints, statistical measures of Mode and Mean would not give a representative picture of the data. Considering the datasets, Median would be the most appropriate measure of central tendency.
- It became essential that a benchmark may be evolved which includes the maximum number of organisations which are actively engaged in the vigilance activities.

- It was also noted that few organisations have not reported the required data despite being reminded in this regard.

4. Categorization of Organisations

Detailed discussions were held regarding the categories in which the organisations can be divided for the purpose of appraisal.

After protracted analysis of the various possibilities and keeping in view that the Organisations which are performing in similar/common environment could be considered under one category, it was decided to categorise the organisations in only three broad categories i.e. Public Sector Banks, Public Sector Undertakings and Government Ministries / Departments / Autonomous Organisations / Statutory Bodies.

Statistical determination of threshold values

Deliberations were held on the statistical parameters that could be used to determine the lower threshold of complaints and departmental inquiries that an organisation must have handled for being eligible for assessment for the purpose of appraisal. The need for determining these lower thresholds was felt due to a very large number of organisations having reported very less number of complaints and departmental inquiries; and in absence of such lower thresholds, an organisation having only 1 complaint which has been timely processed can be indexed higher (100% score) than an organisation having processed 600 out of 610 complaints in timely manner (98.52% score). Similar scenario exists for departmental inquiries also; and assessing organisations having very low number of complaints or departmental inquiries for the purpose of indexing may unfairly bias the results based on small sample size; which could lead to misleading results.

Considering the highly skewed data with high concentration at lower end of the spectrum for both Departmental Inquiries and Complaints, it was opined that Median



would be the most reasonable measure of central tendency. Initially it was thought to assess those organisations for indexing where the number of complaints is equal to or more than the median number of complaints received by the 190 organisations which have reported at least 1 complaint (i.e. 33); and where the number of departmental inquiries is equal to or more than the median number of departmental inquiries in the 111 organisations where at least 1 departmental inquiry has been instituted (i.e. 5).

Total 57 organisations have 5 or more departmental inquiries and total 97 organisations have 33 or more complaints. The total number of organisations eligible for assessment considering the minimum threshold of 5 departmental inquiries and 33 complaints are as follows:

- Public Sector Banks - 11
- Public Sector Organisations - 20
- Government Ministries / Departments / Autonomous Organisations / Statutory Bodies- 13

Further deliberations were held on the matter of lower thresholds, and with a view of including more organisations in the assessment domain, scatter diagrams for both Departmental Inquiries and Complaints were plotted to see if grouping of data just below the Median could be considered for deriving the lower thresholds of both Departmental Inquiries and Complaints. Scatter diagrams are given as Figure-1 and Figure-2 which also shows the skewed nature of the data.

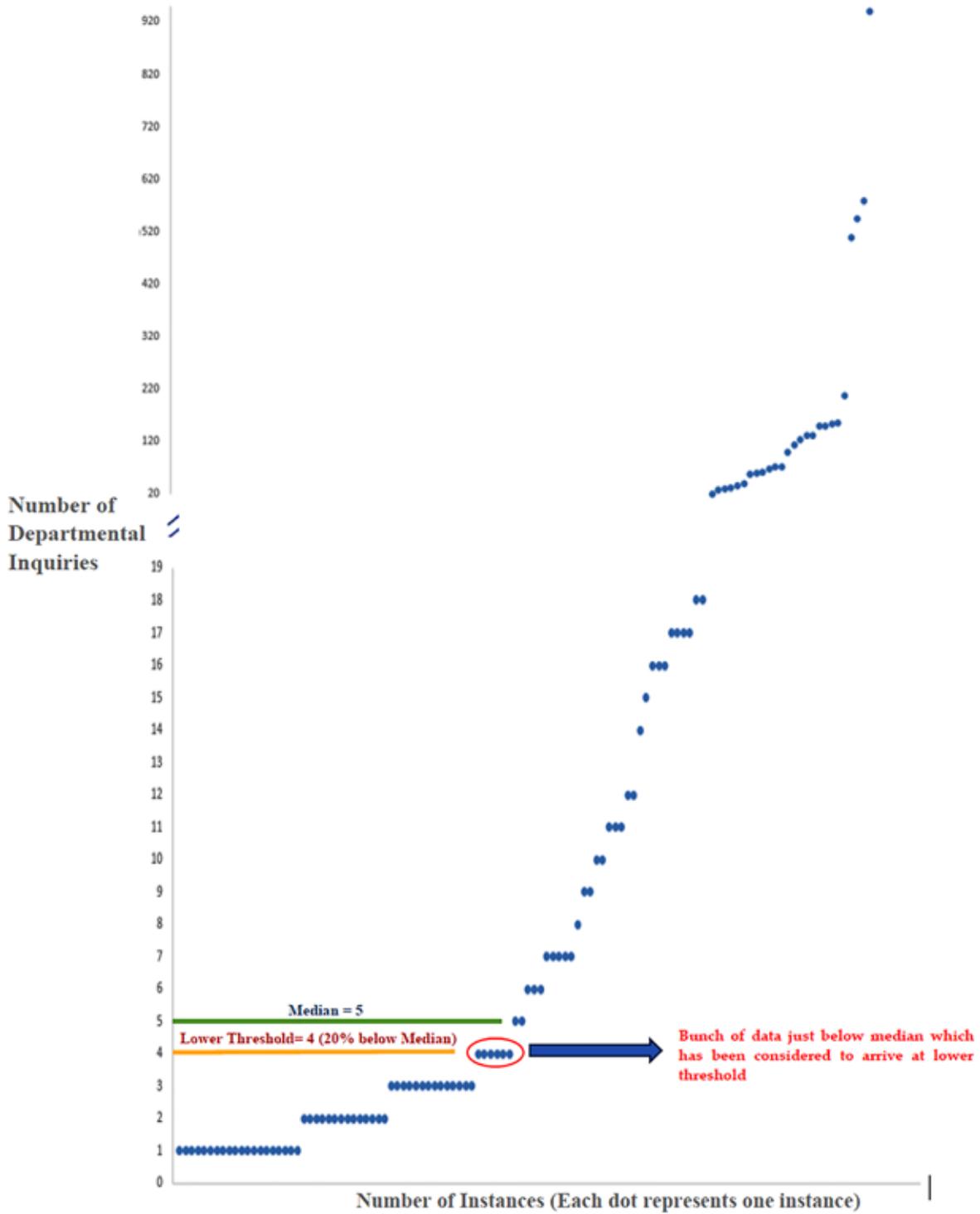


Figure 1 - Scatter Diagram of Departmental Inquiries reported by 111 organisations having at least 1 Departmental Inquiry

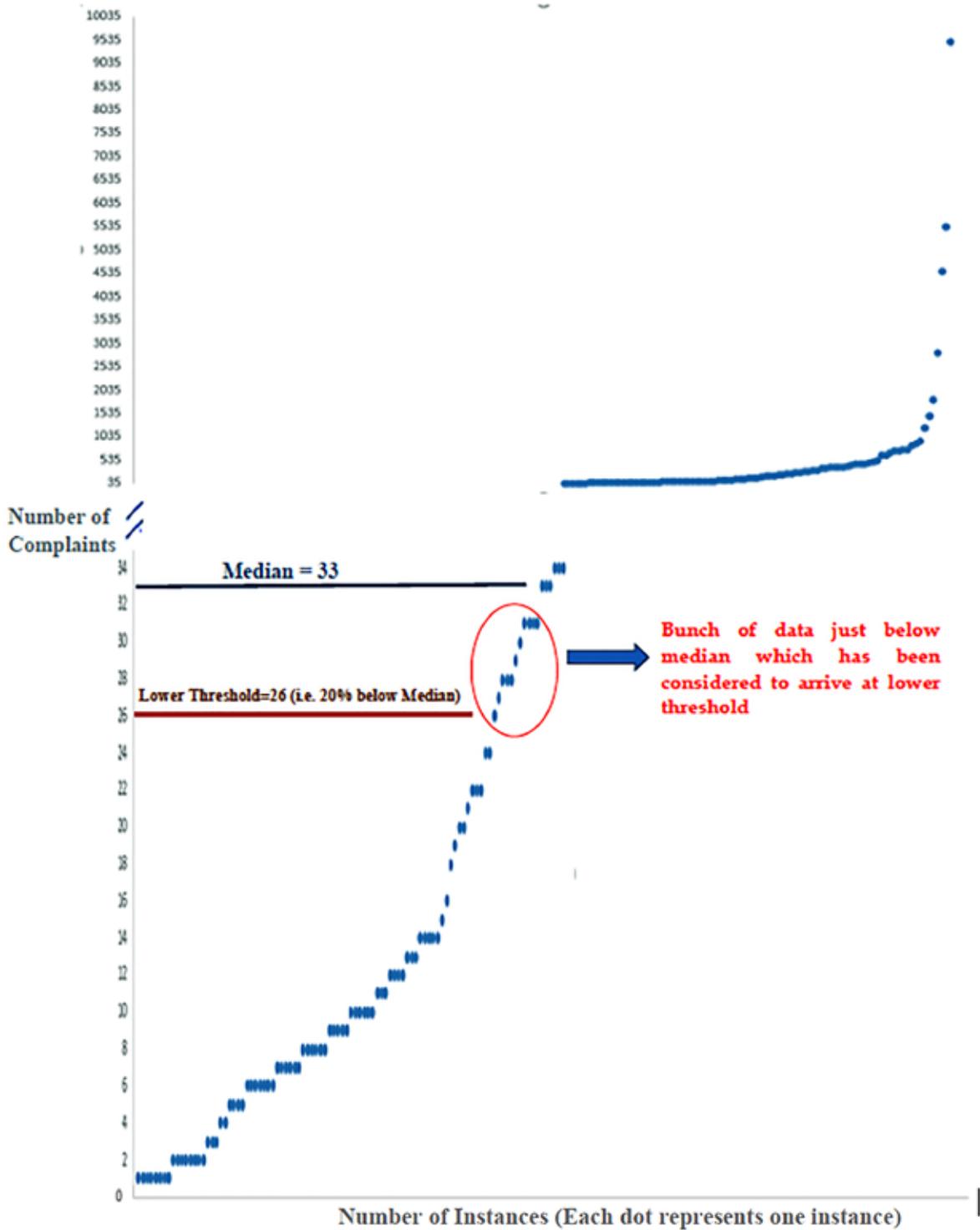


Figure 2 - Scatter Diagram of Complaints reported by 190 organisations having at least 1 complaint

Upon detailed scrutiny of the data and scatter diagrams, it was decided that it would be appropriate to set the lower thresholds as 20% below the Median number of complaints received by the 190 organisations which have reported at least 1 complaint (i.e. 80% of Median of 33 = 26.4 rounded off to the next lower whole number i.e. 26) and 20% below the Median number of departmental inquiries initiated by the 111 organisations which have reported at least 1 departmental inquiry (i.e. 80% of Median of 5 = 4).

Total 63 organisations have 4 or more departmental inquiries (which is approximately 57% of the 111 organisations having at least 1 departmental inquiry) and total 108 organisations have 26 or more complaints (which is approximately 57% of the 190 organisations having at least 1 complaint). The total number of organisations taken up for performance appraisal considering the minimum threshold of 4 departmental inquiries and 26 complaints are as follows:

- Public Sector Banks - 12
- Public Sector Organisations - 23
- Government Ministries / Departments / Autonomous Organisations / Statutory Bodies- 15

Assignment of weightages to parameters with Case Study examples

After freezing the categories in which organisations will be indexed, deliberations were held regarding the weightage to be given to complaints and departmental inquiries while assessing the organisations. It was felt that efficiency of Vigilance unit is indicated by the extent of timely processing of complaints, and the efficiency of Vigilance and administrative units in dealing with disciplinary proceedings is indicated by the extent of timely processing of departmental inquiries.



After deliberating on which of these two parameters should be given a higher weightage, it was felt that both these parameters are equally important and should be given weightage in the ratio of 1:1 and the overall score of the organisation for the purpose of indexing may be computed by calculating the arithmetic mean of the score obtained by the organisation in the parameter of Departmental Inquiries and the score obtained by the organisation in the parameter of complaints.

The decision of assigning equal weightage to both the above parameters was based on the fact that employees against whom complaints are being examined or against whom departmental inquiry proceedings are underway, remain in a sense of stress/anxiety, and timely disposal of complaints and timely disposal of departmental inquiries are equally important for the employee to come out of the state of uncertainty. From the organisational perspective also, if there are officials in the organisation who have acted with malafide intent, it is better that the guilty are punished in an expeditious manner, for which both timely disposal of complaints and timely disposal of departmental inquiries is equally important as these are sequential activities.

On the other hand, if some honest employees have been subjected to complaints or departmental inquiries, their morale can also be boosted if they come out clean from the case within the stipulated timeline, which is equally applicable to complaints as well as departmental inquiries.

Deliberations were then held on how to assign marks / weightage to the individual data points which have been collected from the organisations under the heads of complaints and departmental inquiries.

For departmental inquiries, it was decided to focus on assigning marks to the two most important steps of the process, namely, time taken for appointment of IO/PO and the time taken in submission of Inquiry Report by the Inquiry Officer. For each of the Departmental Inquiry instituted in the year 2021, it was felt that maximum marks should be given to timely appointment of IO/PO (i.e. 50 marks if IO/PO is appointed within 2

months) and sequentially lower marks be assigned if there is delay in appointment of IO / PO (i.e. 30 marks if IO/PO has been appointed in between 2 to 4 months and 20 marks if IO/PO has been appointed after 4 months).

This would incentivise the Vigilance administration of the organisations which have appointed IO / PO in timely manner by awarding maximum marks of 50 (i.e. 100% for that departmental inquiry); and would dis-incentivise delays by deduction of 40% marks with respect to that departmental inquiry where time taken in appointment of IO/PO is between 2 to 4 months and by deduction of 60% marks with respect to that departmental inquiry where appointment of IO/PO has taken more than 4 months. It was also decided to assign ZERO marks for those cases of the year 2021 where IO / PO are yet to be appointed. It was decided that maximum weighted average score of the organisation for appointment of IO/PO may be fixed as 50.

Similarly, for submission of inquiry report by the inquiry officer, it was felt that maximum marks should be given to timely submission of inquiry report (i.e. 50 marks if Inquiry Report is submitted within 6 months) and sequentially lower marks be assigned if there is delay in submission of Inquiry Report (i.e. 30 marks if inquiry report is submitted between 6 to 9 months and 20 marks if inquiry report is submitted between 9 to 12 months).

This would incentivise the Vigilance administration of the organisations where inquiry report has been submitted in timely manner by awarding maximum marks of 50 (i.e. 100% for that departmental inquiry); and would dis-incentivise delays by deduction of 40% marks with respect to that departmental inquiry where inquiry report submission has taken between 6 to 9 months and by deduction of 60% marks with respect to that departmental inquiry where inquiry report submission has taken between 9 to 12 months.

It was also decided to assign zero marks for those cases of the year 2021 where Inquiry report is yet to be submitted. It was decided that maximum weighted average score of



the Vigilance administration of the organisation for submission of inquiry report may be fixed as 50.

It was also felt that for those Departmental Inquiries instituted prior to the year 2021 where the departmental inquiry is yet to be finalised and the organisation is at fault for the same, there should be provision of awarding of de-merit marks as well. After deliberating the matter in detail, it was decided to assign de-merit marks of (-) 1.00 for each such pending departmental inquiry.

As regards complaints, the data received from the organisations was analysed and it was felt that the data reported by the organisations for complaints referred by Commission for furnishing I&R and data reported by the organisation for all other complaints may be merged for the purpose of evaluation as the timelines remain same in both the cases. This thought was further supported by the contention that from the organisational perspective and also from the perspective of the employees, all complaints are of equal importance and must be treated at par.

Thus, for each complaint received by the organisation, it was felt that maximum marks should be given to timely disposal of complaints (i.e. 50 marks if complaint is disposed within 3 months) and sequentially lower marks be assigned if there is delay in disposal of complaints (i.e. 30 marks if disposal of complaint has taken between 3 to 6 months and 20 marks if disposal of complaint has taken more than 6 months).

This would incentivise the Vigilance administration of the organisations where complaints have been disposed in timely manner by awarding maximum marks of 50 (i.e. 100% for that complaint); and would dis-incentivise delays by deduction of 40% marks with respect to that complaint where disposal has taken between 3 to 6 months and by deduction of 60% marks with respect to that complaint where disposal has taken more than 6 months.

It was decided to assign zero marks for those complaints of the year 2021 which are yet to be disposed. It was also decided that maximum weighted average score of disposal of complaints may be fixed as 50.

It was also felt that for each pending complaint of prior to 2021 where Vigilance administration of the organisation is found to be at fault in disposing the complaint, there should be provision of awarding of de-merit marks as well. After deliberating the matter in detail, it was decided to assign de-merit marks of (-) 0.50 for each such pending complaint.

For purpose of clarity, two case study examples for calculation of score of organisation in respect of departmental inquiries and complaints are discussed below:



Departmental Proceedings – Case Study 1

Suppose Organisation XYZ has forwarded following data in respect of Departmental Inquiry for the year 2021

IO/PO appointed within	Number of DIs
02 months	18
between 02-04 months	14
after 04 months	8
Yet to be appointed	0
Total DIs	40

Time taken for submission of Inquiry report	Number of DIs
Within 06 months	16
Between 06-09 months	13
Between 09-12 months	06
Yet to be submitted	05
Total DIs	40

No DI prior to the year 2021 is pending.

Assessment of Performance

Period of appointment of IO/PO	No. of DIs	Marks assigned for the category	Weighted average score
<02 months	18	50	$(18 / 40) * 50 = 22.5$
02 to 04 months	14	30	$(14 / 40) * 30 = 10.5$
After 04 months	8	20	$(8 / 40) * 20 = 4$
Yet to be appointed	0	0	$(0 / 40) * 0 = 0$
Total			37

Submission of Inquiry report	No. of DIs	Marks assigned for the category	Weighted average score
Within 06 months	16	50	$(16 / 40) * 50 = 20$
Between 06-09 months	13	30	$(13 / 40) * 30 = 9.75$
Between 09-12 months	06	20	$(6 / 40) * 20 = 3$
Yet to be submitted	05	00	$(5 / 40) * 0 = 0$
Total			32.75

Therefore, the total score of Vigilance administration of the organisation XYZ is : $37 + 32.75 = 69.75$ out of 100

Percentage score of the Vigilance administration of the organisation for efficiency in departmental inquiries is **69.75%**

Departmental Proceedings – Case Study 2

Suppose Organisation ABC has forwarded following data in respect of Departmental Inquiry for the year 2021.

IO/PO appointed within	Number of DIs
02 months	25
between 02-04 months	20
after 04 months	15
Yet to be appointed	0
Total DIs	60

Time taken for submission of Inquiry report	Number of DIs
Within 06 months	28
Between 06-09 months	15
Between 09-12 months	13
Yet to be submitted	04
Total DIs	60

The Organisation has also informed that total 02 DIs prior to 2021 are yet to be finalized.

Assessment of Performance

Period of appointment of IO/PO	No. of DIs	Marks assigned for the category	Weighted average score
<02 months	25	50	$(25 / 60) * 50 = 20.83$
02 to 04 months	20	30	$(20 / 60) * 30 = 10$
After 04 months	15	20	$(15 / 60) * 20 = 5$
Yet to be appointed	0	0	$(0 / 60) * 0 = 0$
Total			35.83



Submission of Inquiry report	No. of DIs	Marks assigned for the category	Weighted average score
Within 06 months	28	50	$(28 / 60) * 50 = 23.33$
Between 06-09 months	15	30	$(15 / 60) * 30 = 7.5$
Between 09-12 months	13	20	$(13 / 60) * 20 = 4.33$
Yet to be submitted	04	00	$(4 / 60) * 0 = 0$
Total			35.16

Therefore, the score of Vigilance administration of the organisation ABC is : $35.83 + 35.16 - 2$ [for 02 DIs pending prior to 2021] = **68.99** out of 100

Percentage score of the Vigilance administration of the organisation for efficiency in departmental inquiries is **68.99%**

Complaints – Case Study 1

Suppose Organisation XYZ has forwarded following data in respect of complaints for the year 2021 (including complaints referred by the Commission for furnishing I&R and all the other complaints received by the organisation)

Time taken for disposal of complaint	Number of complaints
Within 03 months	52
Between 03 to 06 months	18
After 06 months	05
Yet to be disposed	00
Total complaints	75

No complaint prior to the year 2021 is pending.

Assessment of Performance

Time taken for disposal of complaint	No. of complaints	Marks assigned for the category	Weighted average score
(a)	(b)	©	(d)
Within 03 months	52	50	$\{(52 / 75) * 50\} * 2 = 69.33$
Between 03 to 06 months	18	30	$\{(18 / 75) * 30\} * 2 = 14.40$
After 06 months	05	20	$\{(05 / 75) * 20\} * 2 = 2.66$
Yet to be disposed	00	00	$\{(00 / 75) * 00\} * 2 = 0$
Total			86.39

Note : Disposal of complaints have been assessed in 02 fields namely - (a) Furnishing of I&R to CVC; and (b) disposal of complaints directly received in the Organisation including those forwarded by CVC for NA.

The timeline for furnishing of I&R and disposal of complaints is same. Therefore, inputs received in both the fields have been clubbed together for assessment of performance and thereafter assigning of percentage score. Hence, weighted average score in column (d) above has been multiplied by 2.

Therefore, the score of Vigilance administration of the organisation XYZ is 86.39 out of 100.

Percentage score of the Vigilance administration of the organisation for efficiency in complaints is **86.39 %**.



Complaints – Case Study 2

Suppose Organisation ABC has forwarded following data in respect of complaints for the year 2021 (including complaints referred by the Commission for furnishing I&R and all the other complaints received by the organisation)

Time taken for disposal of complaint	Number of complaints
Within 03 months	90
Between 03 to 06 months	25
After 06 months	10
Yet to be disposed	00
Total complaints	125

The Organisation has also informed that 12 complaints prior to the year 2021 are yet to be disposed of.

Assessment of Performance

Time taken for disposal of complaint	No. of complaints	Marks assigned for the category	Weighted average score
(a)	(b)	(c)	(d)
Within 03 months	90	50	$\{(90 / 125) * 50\} * 2 = 72$
Between 03 to 06 months	25	30	$\{(25 / 125) * 30\} * 2 = 12$
After 06 months	10	20	$\{(10 / 125) * 20\} * 2 = 3.2$
Yet to be disposed	00	00	$\{(00 / 125) * 00\} * 2 = 0$
Total			87.20

Therefore, the score of Vigilance administration of the organisation ABC is : 87.20 - 6.00 [for 12 complaints pending prior to 2021] = **81.20** out of 100.

Percentage score of the Vigilance administration of the organisation for efficiency in complaints is **81.2%**.

As it had been decided to assign equal weightage to the selected critical parameters of complaints and departmental enquiries, the overall percentage score of the organisation for the purpose of appraisal would be the average of its percentage score for departmental inquiry and its percentage score for complaints.

For example, in the case studies presented above, the percentage score of organisation XYZ as regards departmental inquiry was 69.75% and the percentage score of organisation XYZ with reference to complaints was 86.39%. Thus, the overall percentage score of Vigilance administration of the organisation XYZ for the purpose of appraisal would be average of 69.75% and 86.39% i.e. $(69.75 + 86.39)/2 = 78.07\%$.

Similarly, the overall percentage score of Vigilance administration of the organisation ABC for the purpose of indexing will be average of its percentage score for departmental inquiry (i.e. 68.99%) and its percentage score for complaints (81.2%); and will work out to be 75.095% {i.e. $(68.99 + 81.2)/2$ }.

Since the overall percentage score of Vigilance administration of the organisation XYZ (i.e. 78.07 %) is higher than overall percentage score of Vigilance administration of the organisation ABC (i.e. 75.095%), organisation XYZ will have better efficiency than organisation ABC in Vigilance administration.

Thus, within each category (i.e. Public Sector Banks, Public Sector Undertakings and Government Ministries / Departments / Autonomous Organisations / Statutory Bodies), the Vigilance administration of the organisation with higher overall percentage score will have better efficiency than the Vigilance administration of the organisation with lower overall percentage score.

The rationale, philosophy, approach and methodology of performance appraisal of Vigilance administration of the organisations were deliberated upon with Ministry of Statistics & Programme Implementation; and their inputs / suggestions have been incorporated in the report.

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