



BEST PRACTICES IN VIGILANCE ADMINISTRATION



Message from the Commission

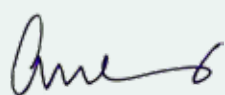
The Central Vigilance Commission is observing Vigilance Awareness Week from 30th October to 5th November 2023 with the theme “ भ्रष्टाचार का विरोध करें; राष्ट्र के प्रति समर्पित रहे”, “Say no to corruption; commit to the Nation”.

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 "Arvind", is positioned above the name of the Vigilance Commissioner.

Arvinda Kumar
Vigilance Commissioner

A handwritten signature in blue ink, appearing to read "Praveen", is positioned above the name of the Central Vigilance Commissioner.

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, reading "Daniel", is positioned above the printed name of the Secretary.

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.

A handwritten signature in blue ink, appearing to read "Ajay Kanoujia", is positioned above the name and title.

Ajay Kanoujia
Additional Secretary

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.