सत्यमेव जयते

केन्द्रीय सतर्कता आयोग
CENTRAL VIGILANCE COMMISSION

सतर्कता भवन, जी.पी.ओ. कॉम्पलैक्स,
ब्लॉक–ए, आई.एन.ए., नई दिल्ली–110023
Satarkta Bhawan, G.P.O. Complex,
Block A, INA, New Delhi-10023

सं./No. 021/MSC/026

दिनांक / Dated... 26.10.2022

Circular No. 23/10/22

Sub:- Management Audit of Vigilance Units (MAVU)

Ref:- Commission's Circular No. 24/12/21 dated 23.12.2021

The Commission vide Circular No. 24/12/21 dated 23.12.21 had issued guidelines for conducting MAVU of the organisations covered its advisory jurisdiction. MAVU is to be conducted by a team of officers from the Commission. A format of the proforma for submitting statistical data and other relevant information by the CVOs to the team of officers from the Commission was also enclosed along with Circular dated 23.12.21.

2. The Commission has decided to revise the format, calling for relevant information from the respective organisations, a copy of which is enclosed as Annexure-A to this circular. Henceforth, the revised format may be used for providing information to the team of officers from the Commission for smooth and effective conduct of MAVU, as and when required.

3. It may be noted for compliance.

(Rajiv Verma)
Director

To

(i) The Secretaries of all Ministries/Departments of GoI
(ii) All Chief Executives of CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
(iii) All CVOs of Ministries/Departments of GoI/CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
(iv) Website of CVC

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Annexure 'A'

PROFORMA FOR SUBMITTING DETAILS BY CVO FOR MANAGEMENT AUDIT OF VIGILANCE UNIT (MAVU) OF (*NAME OF THE ORGANISATION*) FOR THE CALENDER YEAR _____

PART- I

ORGANISATIONAL PROFILE

1. **Name of the Ministry/ Department/Organization:**

2. **No. of Employees**

   (i) Covered under Commission's jurisdiction :
   (ii) Others :

3. **Brief Descriptions including nature of business/activities carried out by the Ministry/ Department/Organization**

4. **Whether the Organization has extensive Public Dealing**: YES/NO

5. **(i) Vigilance Set Up of organization :**

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

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

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

   (ii) Name and No. of attached /subordinate/subsidiary organizations: (Details to be given)

   (iii) out of (ii) above, Names and No. of attached/subordinate/subsidiary organizations where the post of CVO exists: (Details to be given)

6. **Details of training programmes attended by CVO:**

Sl. No.	Name of Agency who conducted the training programme	Name of the Training programme	Date of Start of Training programme and its duration

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7. **Details of training programmes attended by Vigilance Functionaries, other than CVO. (The details should be provided only in respect of those officers/officials who are presently working in Vigilance Unit)**

Sl. No.	Name of Officer/Official	Name of Agency who conducted the training programme	Name of the Training programme	Date of Start of Training programme and its duration

8. **(i) Whether structured meeting being held by the Management with the CVO:**

(ii) No. of such meetings held during the calendar year :

9. **Whether the Internal Advisory Committee of GMs, as per the instructions of the Commission constituted**: (wherever applicable). YES/NO

(i) If yes–

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

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

(ii) If Internal Advisory Committee has not been constituted, the reasons therefore may be clearly spelt out.

10. **Whether the Ministry/ Department/Organization has appointed Independent External Monitor (IEM)?** (wherever applicable)

If yes, no of meetings of IEMs held during the calendar year :

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PART-II

11. COMPLAINTS:

Source	Opening Balance (as on 01.01.__)	Received during the year	Total	Disposal during the year (filed/sent for NA and registered as Vigilance for investigation by CVO)	Balance Pending	Age wise pendency (Months)		
						<1	1-3	>3
CVC								
Others								
Total								

12. PIDPI

(A) Complaints:

Source	Opening Balance (as on 01.01.__)	Received during the year	Total	Reports submitted to CVC/CVO, Admin.Ministry during the year	Balance Pending	Age wise pendency for investigation by CVO (Months)			Reason for delay beyond 3 months
						< 3	3-6	>6	
CVC									
Designated Authority									
Total									

(B) Advice and Action taken on PIDPI Investigation Reports:

Agency	Advice of CVC/Designated Authority pending for implementation at the start of calendar year (as on 1.1.__)	Reports sent during the year by CVO	Reports in which Advice received during the year	Total of Column (1) to (3)	Action Taken during the year (Nos. of advice)	Balance Pending for Action by Management/Organization (Months)			
						< 3	3-6	6-12	12
	(1)	(2)	(3)						
CVC									
Designated Authority									
TOTAL									

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(C) Action taken report on complaints sent by CVC for 'Necessary Action' under PIDPI resolution

Opening Balance (as on 01.01.__)	Received During the year	Total	Filed/Closed without taking any action	Taken up for further investigation	Complaints resulting in administrative action	Complaints resulting in initiation of major/minor penalty proceedings	Total complaints disposed of during the year	Pending at the end of the year

13. Scrutiny of Audit Reports:

I. (a) Total No. of CAG Audit paras received during the year :

(b) Total no of Statutory Audit Reports during the year:

II.

Type of Audit	No. of reports/paras examined during the year	No. of paras in which vigilance angle observed and identified for examination	No. of paras in which investigation completed	No. of paras pending for investigation
CAG				
Statutory				
Concurrent (*wherever applicable)				
Internal (*wherever applicable)				
Others				
Total				

14. Action on CVC Advice:

(a)

Stage	Type	Opening Balance (as on 01.01.__)	Received during the year	Action taken FSA Major-IO appointed FSA Minor- FO issued SSA-FO issued	Closing Balance (pending for months)			
					<1	1-3	3-6	> 6
FSA	Major							
	Minor							
SSA	Major							
	Minor							

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(b) Systemic Improvement advised by the Commission and action thereon:

Specific Systemic Improvement	Actions taken by the organization	Remarks

15. Vigilance cases where officers were under Commission's jurisdiction but advice were not sought before issue of Charge sheet.

Names of officer(s)	Actions taken by the Competent Authority	Remarks

16. Cases where comments/clarifications awaited from the organization:

Categoriy	Opening Balance	Received during the year	Disposal	Closing Balance (pending for months)			Reasons for pendency
				1-3	3-6	>6	
Further information (FI)							
Comments Awaited (CA)							

VIGILANCE INVESTIGATION

17. Complaints, Audit reports, Inspection Reports of works/procurement etc. taken up for investigation

Agency	Opening Balance (as on 01.01.__)	Taken up for investigation during the year	Total	Reports received from Investigating Officer	Balance pending	Age wise Pendency (Months)			
						<3	3-6	6-12	>12
CVC									
CVO									
TOTAL									

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18. **Vigilance investigation pending where officers under CVC jurisdiction are due for retirement in next one year (cases referrable to CVC)**

Opening Balance (as on 01.01.__)	Taken up for investigation during the year	Total	Reports received from IO	Balance pending	Age wise Pendency (Months)		
					<3	3-6	6-12

19. **Action Taken on CTE Report (If Any):**

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

20.

(i) **<u>Requests for Prosecution sanctions received and disposed</u>**

Category	Opening Balance(as on 01.01.__)	Received during the period of review	Total	Sanction Granted	Sanction refused	Balance Pending	Age wise Pendency (Months)	
							3-6	>6
Group C								
Group B								
Group A up to DS/Director Level								
JS and above								
Total								

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(ii) **Requests pending for approval under Section 17 A of PC Act,1988**

Category	Opening Balance(as on 01.01.__)	Received during the period of review	Total	Granted	refused	Balance Pending	Age wise Pendency (Months)	
							3-6	>6
Group C								
Group B								
Group A up to DS/Director Level								
JS and above								
Total								

21. **Nature of Vigilance Activity:**

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

Note: *Allegations pertaining to personnel matters mean false claims of TA, DA, medical, LTC, submission of false caste, educational certificates etc.

**Allegations with regard to core activities means allegations pertaining to tenders, procurement, release of credit facilities by banks, undue favours in assessment by revenue officials etc. The list is only illustrative and would depend on the core activities of each organization.

22. **Time Taken to conclude Departmental Inquiries**

Type		< 3 months	3 – 6 months	6 months – 1yr	1yr. – 2 yr.	> 2 yrs.
CVC cases	Major					
	Minor					
Non-CVC cases	Major					
	Minor					

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23. Departmental Proceedings (Outstanding)

(A) Major Penalty cases pending with IOs/IAs

Category	Opening Balance (as on 01.01.__)	Inquiries assigned to IO during the year	Total	Reports received from IOs	Inquiries pending with IOs	Age wise Pendency (months)			
						<6	6-12	12-18	>18
Cases under CVC jurisdiction									
Others (non-CVC cases)									
Total									

(B) Minor Penalty cases pending with IOs/IAs

Category	Opening Balance (as on 01.01.__)	Inquiries assigned to IO during the year	Total	Reports received from IOs	Inquiries pending with IOs	Age wise Pendency (months)			
						<6	6-12	12-18	>18
Cases under CVC jurisdiction									
Others (non-CVC cases)									
Total									

(c) Whether IO/IA is submitting monthly progress reports to DA/CVO (Commission's circular no. 21/12/21 dt 03.12.21 refers in this regard)

24. Cases pending with Disciplinary Authority

(A) Major Penalty cases pending with Disciplinary Authorities

Category	Opening Balance (as on 01.01.__)	IO Report received during the year	Total	Cases in which final orders issued by DAs	Balance Pending	Age wise Pendency (months)			
						<6	6-12	12-18	>18
Cases under CVC jurisdiction									
Others (non-CVC cases)									
Total									

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(B) Minor Penalty cases pending with Disciplinary Authorities

Category	Opening Balance (as on 01.01.__)	No. of chargesheet issued during the year	Total	Cases in which final orders issued by DA	Balance Pending	Age wise Pendency (months)			
						<6	6-12	12-18	>18
Cases under CVC jurisdiction									
Others (non-CVC cases)									
Total									

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PART-III

25. Preventive Vigilance

Type	During the year	No. of cases resulting in Vigilance Investigation	No. of cases resulting in Systemic Improvements	Remarks (Recovery effected, if any, may also be indicated)
Major works/Procurement-CTE Type Inspection				
Periodic Inspection				
Surprise Inspection				
Scrutiny of Property Return				
Scrutiny of IT based systems				

26. Date of preparation of following lists

I. (a) Agreed List :

(b) Officers of doubtful integrity :

II. Whether the employees figuring on ODI List have been transferred to non-sensitive position

27. **(a)** Whether sensitive posts have been identified. If no, give details.

(b) Whether timely rotation of officials on sensitive posts have been done. If no, give details.

28. Whether Preventive Vigilance Committees formed at all branches / administrative offices (wherever applicable): YES/NO

(I) If yes, then

(a) No. of meetings held

(b) No. of meetings in which vigilance functionaries participated :

(II) If no, give reasons.

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29. Number of seminar/workshops program held on Preventive vigilance:

(a) Creating Awareness on Whistleblower/PIDPI:
(b) Initiatives on capacity building:(Details on Induction, Mid-career, and Specialized training)
(c) Training/workshop on Ethics and Values etc.

SYSTEM CENTRIC

30. Whether Complaints Register is being maintained and updated regularly – YES/NO

31. Whether QPRs are being sent regularly as per the instructions

of the Commission : YES/NO

32. Whether all the works (above prescribed limit) undertaken are being reflected in the returns being sent to CTE : YES/NO

a. Inspections/examinations

	During the year	Number resulting in Vigilance Cases	Recovery effected (in Rs.)
Periodic			
Surprise			
Major Works			

b. Inspection of Contracts & Major Purchases (wherever applicable)

	During the year	Number resulting in Vigilance Cases	Recovery effected (in Rs.)
Periodic			
Surprise			
Major Works			

33. Vigilance Clearance

Opening Balance as on 1.1.__	Number of references received during the year	Number of references disposed off	Pending at the end of the year		
			>1 month	1-3 Month	> 3 months

34. Whether review of Vigilance functionary of attached /subordinate/subsidiary organizations done : - YES/NO

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PART-IV

35. Has computerized file tracking system been introduced, to identify officials delaying files?:

36. No. of cases in which departmental action initiated/ punishment awarded for causing delays, if any. :

37. Steps taken to increase transparency in dealing with public/ other stakeholders:

38. Systemic improvements undertaken to reduce opportunities for corruption :

39. No. of inspections / investigations undertaken in the event of slipping of audit rating of a branch on account of fraud / serious irregularities (*wherever applicable*) :

40. Average time taken to finalise / conclude vigilance 'F' cases (*wherever applicable*) :

41. No. of reviews (of the vigilance work) undertaken in the year by the top management committees:

PART-V

42. CVO is requested to prepare a brief containing their special comments, constraints and other issues pertaining to vigilance administration and attach along with this format.

(CVO's Signature)

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