

Amendment of Vigilance Manual

Following amendments are effected to the Vigilance Manual released during August 2017:

- **Vigilance Record Retention** - Schedule for Record Retention in Vigilance Department has been detailed and placed at Flag A. The same needs to be inserted **after Para 5.22(Chapter 5), Page No.56 of Vigilance Manual. (NEW CLAUSE)**

5.22 STANDARD OPERATING PROCEDURE FOR RECORD RETENTION SCHEDULE

5.22.1 Preamble:

- (a) Vigilance Required Control of Documented Information.
- (b) The Department receives many documents as part of the processes.
- (c) As a result of implementing the various processes reports are generated by the department.
- (d) An investigation is a process of gathering data logically and arriving at the cause of deviation.
- (e) A report is a compilation of data for the whole process in each case & it becomes record.
- (f) The system includes Registration of incoming Documents, File Index, Continuous numbering of papers in the file, Proper Closure of files, Registration of outgoing records, Classification of records and Schedule for review of documents and updation.
- (g) The documents are stored in filing cupboards to prevent misuse and for protection of the documents.
- (h) The system ensures that documents and records are readily available and they are updated. The documents and records are basically maintained legibly.
- (i) The records are maintained by the department in a systematic way. A documented procedure is followed for ensuring identification, storage, protection, retrieval, retention and disposal of records.
- (j) Any documents identified for disposition shall be disposed off after shredding.

5.22.2 PROCEDURE FOR CONTROL OF RECORDS

- (a) Prepare / Review list of all record in the department.
- (b) Ensure legibility & authenticity.
- (c) Categorize them as per the file index.

- (d) Segregate as Current document files.
- (e) Segregate as Closed document files.
- (f) Assign a person, a place, method for receiving, registering, filing, closing, storing & for retrieval.
- (g) Maintain record as Current & Closed.
- (h) Review the record on specified time i.e., Every year & implement record retention schedule.

5.22.3 RECORD RETENTION SCHEDULE

| Sl. No. | Particulars of Documents / Records | Period of preservation |
|---------|---|------------------------|
| 01 | Anonymous Complaints. | 1 Year |
| 02 | Pseudonymous Complaints. | 1 Year |
| 03 | Authenticated (Genuine) Complaints. | Permanent |
| 04 | Fact Verification Reports, Investigation Reports, Disciplinary Enquiry Reports. | Permanent |
| 05 | Vigilance clearance. | Permanent |
| 06 | List of Doubtful Integrity, Agreed list, Internal Agreed list. | Permanent |
| 07 | Monthly reports. | 3 Years |
| 08 | Quarterly progressive reports. | 3 Years |
| 09 | Action Plan on Anti-corruption. | 3 Years |
| 10 | Surprise / Regular checks reports, Audit reports. | 3 Years |
| 11 | Annual Zonal Sector Meeting Minutes & Correspondence. | 5 Years + SC |
| 12 | Foreign visits by BEML Employees & Foreign Delegates / Visitors. | 5 Years + SC |
| 13 | Vigilance Awareness Week. | 5 Years |
| 14 | Intensive Examination of Works / Contracts / Purchase Orders / Sub-Contracts Orders carried out by Intensive Examination Teams. | 5 Years + SC |
| 15 | Vigilance Activity Report to Board. | 5 Years + S C |
| 16 | Regular Review of POs covered under Integrity Pact. (IEM) | 3 Years |
| 17 | Seminar / Training / Conference / Workshops etc. | 5 years + SC |
| 18 | System Study reports. | 3 Years + Soft Copy |
| 19 | Minutes of Structure Meeting With CEO (CMD). | 3 Years + Soft Copy |
| 20 | Minutes of DVC Meeting received from divisions. | 2 Years + Soft Copy |
| 21 | Internal Correspondence. | 3 Years |
| 22 | Annual Vigilance activity report to CVC. | 5 Years |
| 23 | Appointment / Transfer / Separation. | 3 Year |
| 24 | PESB Correspondence. | 5 Years |
| 25 | Monthly report on Disciplinary cases from Division. | 3 Years |
| 26 | Correspondence with CVC, MOD & DoPT. | 5 Years + Soft Copy |
| 27 | Correspondence with CBI. | 15 Years + Soft Copy |
| 28 | General Correspondence Files. | 3 Years |
| 29 | Any other Miscellaneous files. | 5 Years |

- (a) Corresponding Files of Fact Verification Reports, Investigation Reports, Disciplinary Enquiry Reports are to be maintained at respective Divisions till the completion of punishment period.
- (b) The Fact Verification Reports, Investigation Reports, Disciplinary Enquiry Reports along with exhibits are to be maintained in soft condition at respective Divisions permanently.

➤ **Vigilance Clearance in BEML – Para 6.17.8 (Chapter 6), Page No 70**

which reads as

“6.17.8 The existing practice of level of executives viz-a-viz authority according the Vigilance Clearance remains unaltered i.e for employees Division Vigilance heads will issue VCI, for Executives in the grade I to VII will be issued by DGM(Vig-CO) and for Executives in the grade VII to X, CVO will issue the VCI , whenever some officer is given additional charge of another post for a short duration i.e. upto 3 months, clearance from the CVC will not be required. In such cases, CVO of the organization would give the vigilance clearance (No. 005-VGC-101 Dated : 11th August, 2005) (Annexure-34). For Board level executives, CVO of the Ministry will issue the VCI”.

to be read as

6.17.8 **Competent Authority**

- 6.17.8.1 For Employees of Divisions, Divisional Vigilance heads will issue VCI and for Employees of Corporate Office, Unity Building and ROs & DOs, EA/CVO will issue the VCI under approval by CVO.
- 6.17.8.2 For Officers from Grade I upto one grade below that of EA/CVO, EA/CVO will issue the VCI under approval by CVO. For Officers of the grade equivalent to that of EA/CVO upto Grade-X, CVO will issue the VCI. For Board level executives, CVO of the Ministry will issue the VCI.
- 6.17.8.3 Whenever Board Level Executive officer is given additional charge of another post for a short duration i.e. upto 3 months, clearance from the CVC will not be required. In such cases, CVO of the organization would give the Vigilance Clearance as per CVC communication vide ref: No. 005-VGC-101 Dated: 11th August, 2005 (Annexure-34)”.

➤ **Establishment and Vigilance Set up in BEML – Para 5.7.4 (Chapter 5), Page No 42**

The revised organisation chart of Vigilance Department has been enclosed as Flag B and same needs to be replaced at Para 5.7.4 (Chapter 5), Page No 42.

ORGANISATIONAL CHART OF VIGILANCE DEPARTMENT, BEML LIMITED

