



भारत प्रतिभूति मुद्रण तथा मुद्रा निर्माण निगम लिमिटेड
Security Printing and Minting Corporation of India Limited

मिनिरत्न श्रेणी-I, सीपीएसई
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Miniratna Category-I, CPSE
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SPMCIL/ VIG/ 03/09/2212

Date: 05th May, 2011

CIRCULAR

Sub: Dealing with complaints.

An important source of information about corruption, malpractices and misconduct on the part of officials belonging to the company is from complaints. Complaints are received from various sources. Guidelines on dealing with complaints were earlier notified to all concerned for strict compliance vide OM dated 03.11.2009 and re-circulated vide Circular dated 30-03-2011. For handling complaints more effectively, a comprehensive complaint handling policy is formulated and hereby notified to all for strict compliance:-

i) A copy of all complaints after receipt in the units is to be sent by the concerned unit to the Senior Vigilance Officer posted in the units and for those received in the Corporate Office, a copy of the complaints is required to be sent to the CVO in the first instance.

ii) The Senior Vigilance Officer posted in the unit, after receipt of the complaints, shall refer all such complaints that have a vigilance angle (refer enclosed **Annexure I**), to the Chief Vigilance Officer (CVO). Those complaints that do not have a vigilance angle would be sent by Sr. Vigilance Officer back to GM of the Unit for such action as may be deemed appropriate.

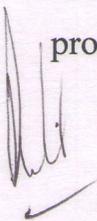
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iii) In the first instance, a decision regarding the existence of a vigilance angle in a case would be taken by the CVO and confirmed by CMD.

iv) After registering the information as a complaint in the Vigilance Complaint Register (except in cases involving Board level appointees & CVO for whom CVO of DEA shall deal with the complaint), the matter would be proceeded with to decide as to whether the allegations made in the complaint need further investigation or the complaint deserves to be filed.

v) As per CVC guidelines, no action is to be taken on anonymous/pseudonymous complaints as a general rule. However, if there are any verifiable facts alleged in the complaint, CVO is expected to conduct a fact finding inquiry in the matter regarding the verifiable facts and only the extracts of such complaints need to be sent to the officer doing such fact finding inquiry. However, the permission of CVC is required for carrying out detailed investigations if such an investigation is found to be warranted after conduct of such a fact finding inquiry.

vi) Genuine complaints received from officials of SPMCIL about corruption or other kind of malpractices should preferably come through proper channels, but in exceptional circumstances, may also be forwarded directly to CVO. While genuine complaints are to be afforded protection against harassment or victimization, serious notice shall be taken if a complaint after verification is found to be false and malicious and this may even lead to severe departmental action or launching of criminal prosecution.



vii) After it has been decided that the allegations contained in a complaint should be looked into departmentally, the CVO would proceed to make a preliminary enquiry (generally termed as investigation). He may conduct the preliminary enquiry himself or entrust it to one of the Vigilance Officers. He may also suggest to the administrative authority to entrust the investigation to any other officer considered suitable for the purpose in the particular circumstances. The purpose of such an enquiry is to determine whether, prima-facie, there is some substance in the allegations.

viii) After the preliminary enquiry has been completed, the investigating officer should prepare a self-contained report in the prescribed format of CVC, containing inter-alia the material to controvert the defence, his own recommendations along with a copy of the complaint, bio-data of officials involved and any loophole noticed or procedural reform needed etc. This would be submitted to CVO for first stage advice. Then, the preliminary enquiry report along with first stage advice of CVO shall be put up to Disciplinary Authority for appropriate decision.

ix) The disciplinary authority would consider the investigation report and the first stage advice of the CVO and decide, on the basis of the facts disclosed in the preliminary enquiry, whether the complaint should be dropped or warning/caution etc. administered or regular departmental proceedings launched for imposition of minor/major penalty.

x) If any of the employees involved in the case falls within the Commission's jurisdiction (i.e. E-8 and above level officers or in composite cases), the latter's advice would be required and any decision of the



disciplinary authority at this stage may be treated as "tentative". Such a reference would be required to be made even in respect of an officer/staff who are not within the Commission's jurisdiction if they are involved along with other officers who are within the jurisdiction of the Commission, as the case would then become composite and fall within the Commission's jurisdiction. The matter may be referred to the Commission, through the CVO, for its advice.

xi) After the first stage advice of CVO/CVC and the decision of the Disciplinary Authority to institute disciplinary proceedings, the complaint should be regarded as having taken the shape of a vigilance case.

xii) On completion of the Departmental Enquiry, the enquiry report in the stipulated format is to be put up to the Disciplinary Authority through CVO for second stage advice. For E-8 and above cases, the decision of DA shall be treated as tentative and referred to CVC for the second stage advice.

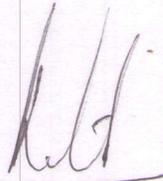
2. This Circular supersedes the guidelines on 'Dealing with complaints' issued earlier vide OM No SPMCIL/VIG/3/09/03 dated 03.11.2009 and Circular No. SPMCIL/VIG/03/09/1467 dated 30-03-2011.

3. These guidelines may be noted and followed strictly by all concerned. The widest possible publicity should be given to this circular and all concerned should be informed. It should also be uploaded on the website of the unit, Corporate Office & displayed on the notice boards. If these guidelines flouted, it will prima-facie constitute a clear violation of guidelines, inviting a vigilance angle.



4. The detailed CVC guidelines on the subject are available at the CVC website viz. www.cvc.nic.in.

5. This issues with the approval of the Competent Authority.


(Ajay Nath)
05.05.2011
CVO

Encl: As above.

All GMs/HOD's
(Mints/Presses/Paper Mill),
SPMCIL.

CC:

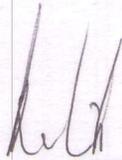
1. ES to CMD
2. Director (T)/Director (F)/ Director (HR) /CVO
3. All GMs/DGM (Corporate office).
4. Manager (OL)-for Hindi translated copy please.
5. All Vigilance Staff (Corporate Office/Units).
6. Notice Board.

Annexure – I

VIGILANCE ANGLE: - Formulation of its precise definition is not possible, generally such an angle is obvious in the following acts by:-

- Demanding and/or accepting gratification other than legal remuneration in respect of an official act or for using his influence with any other official.
- Obtaining valuable thing, without consideration or with inadequate consideration from a person with whom he has or likely to have official dealings or his subordinates have official dealings or where he can exert influence.
- Obtaining for himself or for any other person any valuable thing or pecuniary advantage by corrupt or illegal means or by abusing his position as a public servant.
- Possession of assets disproportionate to his known sources of income.
- Cases of misappropriation, forgery or cheating or other similar criminal offences.
- Irregularities reflecting adversely on the integrity of the public servant:-
 - Gross or wilful negligence;
 - Recklessness in decision making;
 - Blatant violation of systems and procedures.
 - Exercise of discretion in excess, where no ostensible/public interest is evident;
 - Failure to keep the controlling authority/superiors informed in time;

- Any undue/unjustified delay in the disposal of a case, perceived after considering all relevant factors, would reinforce a conclusion as to the presence of vigilance angle in a case.


(Ajay Nath) 05.05.2011
CVO