What is Vigilance?

•Keeping a careful watch to avoid possible danger or difficulties

•In the context of an organisation vigilance is keeping a watchful eye on activities of personnel &

• taking prompt action to promote fair practices, ensure integrity/honesty in official transactions/behaviour

What is Preventive Vigilance?

•Adoption of a package of measures to improve systems/procedures to reduce/eliminate corruption/discretion

•The vigilance manual states that the role of the Vigilance Officer is predominantly preventive

•Preventive vigilance is the duty of the management as a whole, not only of the CVO

•It is a tool of management

•It is not a standalone activity but part of the overall strategy of the organisation

•It is the duty of every employee

Purpose of Preventive Vigilance

•Prevention better than cure.

•To bring about a higher order of morality/rationality in public service

•Watchfulness

•To reduce corruption

Preventive Vigilance Measures

•Create awareness among all stakeholders

•Identify bottlenecks

•Identify areas involving discretion, the exercise of which is not governed by guidelines

•taking steps to prevent commission of improper practices/misconduct

•Identify areas where public comes into contact with the dept.

•Regular and routine, inspections, surprise inspections, reviews, audits

•Disclosure of interest in any client

•List of points and areas of corruption for the purpose of organising checks, streamlining procedures.

•List of sensitive posts: ensure job rotation policy and its effective implementation

•List of officers of doubtful integrity: ensure that such officers are not posted in sensitive positions

•Ensure oral instructions are confirmed in writing

•Publish/circulate areas where fraud/misconduct has been detected: knowledge sharing

•Regular follow up and pursuing of cases lodged with the police/CBI

•Deterrent measures: minimising delays, stiff penalties (delays encourage unethical behaviour &corrupt practices)

•Recovery of loss

•Prosecution for criminal misconduct

•Send a message that deviant behaviour does not pay

•Assess organization's vulnerability/risk to corruption/fraud.

•Evaluate the scale of fraud.

- Assign responsibility–levels of employees.

- Develop response mechanism.

- Periodically review the effectiveness

Create an environment that promotes ethical behaviour

- Capacity building & sensitisation at all levels & across all functional areas

- A list of Dos & Don'ts; SOPs

- A checklist for high risk areas

- Manuals relating to purchases/contracts/works/personnel

- Structured interaction between vigilance & internal audit
  Using IT as an enabler for reducing corruption has been effectively demonstrated

- Initiatives that have reduced scope for human interface have reduced scope for corruption

- e-procurements, e-payments, e-tenders

- Websites used for disseminating information/creating awareness

- Encourage reporting/deterring

- Use of log analysis tools, computer assisted audit techniques help in detection of fraud

- Online grievance redressal systems

- Online complaints

- Automatic refund of EMDs

- Use of social media platforms for receiving complaints

Technology is only as good as the use we put it to

- It is open to misuse so we need to be alert to possibilities

- Periodic reviews, security certifications, system audits, ensure only authorised persons have access, modifications are duly   authorised, tested, implemented & documented

•Not sharing passwords

•Feedback from stakeholders is important

Sources of Preventive Vigilance

•Complaints

•Preventive checks, CTE type inspections

•Audit reports, C&AG reports, technical reports, adjudication orders,etc.

•Media

•Intelligence

•Study of systems/procedures

•Reports of Parliamentary Committees

•Study of disciplinary cases