

Ref No. : HO/01/VIGILANCE/2025-26/Circular/ 49

Date: 09.05.2025

CIRCULAR TO ALL BRANCHES/OFFICES OF THE BANK

Dear Sir/Madam,

Re: **Vigilance Set up and Activities in new entity, Uttar Pradesh Gramin Bank**

You are aware that in exercise of the powers conferred by Section 23A (1) of the Regional Rural Banks Act, 1976, the Government of India, vide Gazette Notification No. CG-DL-E-07042025-262329 dated 07.04.2025, has amalgamated the three Regional Rural Banks operating in the State of Uttar Pradesh viz., Baroda U.P. Bank, Aryavart Bank and Prathama U.P. Gramin Bank, into a single entity-"Uttar Pradesh Gramin Bank", effective from 01.05.2025.

Prior to the amalgamation, each of the erstwhile Bank followed its own set of procedures for managing Vigilance related matters. Subsequent to the amalgamation of three RRBs (Baroda U P Bank, Aryavart Bank and Prathma UP Gramin Bank) to meet requirement for uniformity in vigilance related administration in matters pending against Officers & Employees, carrying Vigilance Activities in new entity and further in order to have better control and supervision & to ensure uniformity in vigilance activities, the Hon'ble Board of the Bank in its meeting held on 07.05.2025, has approved Vigilance Set up and Activities in new entity, Uttar Pradesh Gramin Bank, effective from 01.05.2025.

All the Branches and Offices are hereby advised to thoroughly acquaint themselves with the provisions of the Vigilance Set up and Activities approved by the Hon'ble Board of the Bank, a copy of which is enclosed herewith for your reference.

Accordingly, all the Branches and Offices are advised to familiarize themselves with the provisions of the Vigilance Set up and Activities and ensure that the guidelines are meticulously followed.

Please bring the contents of this circular to the knowledge of all staff members.

Yours faithfully,



(Mohan Kumar Singh)

 **General Manager**

Uttar Pradesh Gramin Bank
Head Office- Gorakhpur/ Lucknow

Annexure –I

**Competent /Disciplinary Authority and Appellate Authority in respect of
Disciplinary matters against officers and employees**

- Following shall be the Competent/Disciplinary Authority and Appellate Authorities in respect of disciplinary matters against the staff-

| S.N. | Cadre | Competent / Disciplinary Authority | Appellate Authority |
|------|---|--|---------------------|
| 1 | Office Attendant & Office Assistant in the Region | Regional Manager (Officer not lower than Scale -IV) | General Manager |
| 2 | Office Attendant & Office Assistant posted at HO and Officer Scale-I & II | General Manager | Chairman |
| 3 | Officer Scale-III, IV & V | Chairman | Board of Directors |

Note : However, In the matter against Office Assistant & Office Attendant (posted in the Region), if Charge Sheet is issued by General Manager till 30.04.2025 Competent Authority will be General Manager and Appellate Authority will be Chairman



Uttar Pradesh Gramin Bank
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Annexure –II

Competent Authority in respect of Sanction of prosecution against Officers and Employees'

Following shall be the Competent Authority/Disciplinary Authority for according Sanction for Prosecution under various laws in the matter against Officers & Employees'

| S.N. | Cadre | Competent Authority |
|------|--|---|
| 1 | Office Attendant & Office Assistant (posted at Branches & in the Region) | Regional Manager (Not lower than Scale –V) |
| 2 | Office Attendant & Office Assistant posted at HO and Officer Scale-I & II | General Manager |
| 3 | Officer Scale-I & II (posted at Branches, RO & HO) | General Manager |
| 4 | Officer Scale-III,IV & V (posted at Branches, RO & HO) | Chairman |



Uttar Pradesh Gramin Bank

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Annexure- III

| Stage | FLOW OF RDA (Regular Departmental Action) CASES |
|-----------|---|
| Stage-1 | Regional Offices will report all type of matters against staff in which explanatory note to concerned staff has been issued as Adverse Issues in their monthly Statement. |
| Stage-2 | After receiving the reply and ascertaining accountability of staff concerned, if Regional Manager comes to a logical conclusion for further action, then Regional Manager will Submit FSR to HO and the Issue will be transferred from Adverse Matters to Contemplated cases in monthly Statement of Vigilance Matters of RO. |
| Stage-3 | HO will compile such Contemplated Cases as Adverse Issues in M-1 statement (Monthly Vigilance Statement prepared at HO) by HO for submission to CVO, CVD, BOB, BCC Mumbai. |
| Stage-4 | HO will conduct IAC for all cases where FSR has been received from Regional Offices for determination of Vigilance angle and send the same (only actionable cases) to CVO, CVD, BOB, BCC Mumbai for concurrence. |
| Stage-5-A | After receipt of advice from BCC for a case concurred as Vigilance, FSR (For categorization of case for Major /Minor Penalty proceedings) will be submitted to CVO, CVD, BOB, BCC Mumbai for concurrence as First Stage Advice (FSA). Cases classified as Vigilance Cases will get reported in M-1 as Contemplated Cases. |
| Stage-5-B | Cases Classified as Non Vigilance will be handled by Concerned Competent Authorities for further action and such cases will be deleted from M-1 Statement. |
| Stage-6 | After receiving First Stage Advice (FSA) from CVO, CVD, BOB, BCC Mumbai, Charge sheet/ Memorandum will be issued by the concerned Competent Authority and such cases will get reported as RDA in M-1 statement and deleted from contemplated cases. |
| Stage-7 | After getting information from HO for issuing Charge sheet/ Memorandum, Regions will issue Charge sheet/ Memorandum in cases where they are Competent Authority & delete such cases from Contemplated category and add in RDA category in their monthly statement of Vigilance cases. |
| Stage-8 | Where Competent Authority is other than Regional Manager, HO will issue Charge sheet/ Memorandum and provide a copy of the same to concerned RO. RO will then delete such cases from Contemplated category and add in RDA category in their monthly Statement of Vigilance cases. |
| Stage-9 | All Vigilance cases where Charge sheet / Memorandum has been issued will be deleted from Contemplated Category and added in RDA Category for reporting in M-1 Statement. |
| Stage-10 | After imposition of penalty, the RDA case will be closed and deleted from RDA Statement. |
| Stage-11 | Composite cases are those where more than one Staff are involved. FSRs in such cases should be send to HO by RO as Composite case. Such Composite cases will be referred to CVO, CVD, BOB, BCC Mumbai jointly after IAC for their concurrence. |
| Note :- | Guidelines / Instructions received from CVO, CVD, BOB, BCC Mumbai from time to time will be complied with. |

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