

 <p>A Maharatna Company</p>	<p>NTPC Limited Corporate Human Resources Division HR Policy Manual Statement of Company Policy regarding Promotion of Employees in Supervisory Categories</p>	<p>Section:0402_02 Issue No: III Rev.No.0 Issue Date: 23.07.2014 Updated as on: 23.07.2014 Page: 1 of 7</p>
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STATEMENT OF COMPANY POLICY REGARDING PROMOTION OF EMPLOYEES IN SUPERVISORY CATEGORIES

1.0 Objective

The objective of the Company's Promotion Policy for employees in the supervisory categories is to provide, keeping in view the organization requirement, adequate growth opportunity consistent with merit and suitability.

2.0 General Principles

The following factors will be taken into account in promotion from one grade to the next higher grade.

2.1 Promotions will be effected only against vacant sanctioned posts.

2.2 **Channel of Promotion:** All the functional areas disciplines will be suitably grouped into well defined channels of promotion taking into account the nature of duties and other relevant consideration and the promotions will be effected strictly in accordance with the channels so laid down (as shown in Annexure as an illustration). The channel of promotion charts will also indicate the test, interview and minimum qualification and relevant experience if any which will be required for promotion to a certain grade.

2.3 **Eligibility Period:** The eligibility period for promotion in various grades to available posts in respective next higher grades will be three years.

Note2 : Counting of period of Extra Ordinary Leave for promotion : Till such time the service rules of the company in this regard are finalized, such cases may be dealt within line with such provisions of the NTPC Pay Fixation Rules circulated vide Corporate Personnel Circular No. 105/83 dt.8.2.1983. Clause 9.0 of the Rules provides, inter-alia, how the period of Extra Ordinary leave should be treated for the purpose of drawl of increment which is as follows:

“9.1 (ii) EOL on account of illness or for prosecution of higher scientific and technical/professional studies duly supported by a medical certificate from an authorized medical officer of the company incase of leave for prosecution of such higher studies; will count for the purpose of drawl of increment.

EOL taken on account of reasons other than illness or prosecution of higher scientific and technical/ professional studies will also count for increment provided it is for less than 3 month....

Period of eligibility for the purpose of promotion will be computed in terms of clause 9.1 and 9.3.3 of the foresaid rules in case of employee proceeding on EOL.

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- 2.4 **Seniority:** The seniority lists of the employees in various grades/channels will be prepared and updated from time to time by the concerned HR Department in accordance with the rules framed for this purpose.

Note3 : Both in case of inter-unit and intra unit transfers (irrespective of whether the transfer in inter- departmental or intradepartmental), the employees will be allowed credit for the entire period of service put in by them in a grade, if the transfer is effected at the initiative of management. In case the transfer is due to an employee's own initiative, full credit for the entire period of service put in by him and a grade will be allowed subject, however, to the condition that at least one year's service in the unit/post to which he is transferred will be necessary before he is considered for promotion.

While issuing communication regarding approval of the request transfer of the concerned non-executive duly approved by the Competent Authority for transfer from one project to another, an undertaking is to be obtained from the employee that he will be placed at the junior most position in his trade/grade at the new place of posting so that the promotion prospects/seniority of the employees of his trade/grade at the new place of posting, is not affected.

Wherever there is a request from any employee for transfer, the employee must be intimated about these provisions clearly and his acceptance obtained so that there is no grievance later raised by him on account of this not being aware of these guidelines. For the purpose of clarity and after seeing the date of entry into grade of existing junior. most employee in the trade, the transferred employee may also be informed of the date w.e.f while his service in the grade will be counted for the purpose of promotion to next higher grade.

- 2.5 **Confidential/Merit Rating Reports :** Confidential Forms/Merit Rating Reports in respect of each employee will be maintained on the prescribed forms, to be written at the end of every financial year. Such reports may, however, also be asked for any time other than the annual reports mentioned above at the discretion of the management. These reports will be kept in the custody of the concerned HR Department.
- 2.6 **Test/Interview/Qualification Bar:** In addition to fulfilling the other eligibility conditions, an employee must possess the requisite qualifications prescribed, if any, for the next higher post against which he is to be considered for promotion. Similarly, he must qualify in the test (s) and interview, if any, laid down for consideration for promotion to the next higher post.
- 2.7 **Reservation for SC/ST:** The directives of the Central Government/Company with regard to the reservation of posts for Scheduled Cast/Scheduled Tribe candidates in the matter of promotion, issued from time to time, will also be kept in view while effecting the promotions of the employees.
- 2.8 **Debarring:**
- 2.8.1 No employee whose latest confidential/merit rating report, whether annual or special, is adjudged as 'Adverse' will be considered for promotion.

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- 2.8.2 No employee under suspension or against whom decision has been taken to charge sheet, or where the charge sheet has been issued or where a criminal case is pending against him shall be promoted until he is unconditionally reinstated or exonerated. In case of unconditional reinstatement or exoneration, he will be allowed promotion with retrospective effect, but the financial benefit accruing due to promotion will be allowed with effect from the date his promotion order is issued and no arrears will be payable on this account unless specifically mentioned otherwise in the promotion order. However, in respect of those employees who have been recommended for promotion by DPC and in whose case decision to issue chargesheet has not been taken by the Competent Authority, order of promotion be issued in normal course.
- 2.8.3 The cases of employees against whom disciplinary proceedings are pending or contemplated but are otherwise eligible for consideration for promotion shall also be considered by the CPC along with all other cases. The recommendations of the CPC, including 'unfit for Promotion' will be kept in a sealed cover. The cover will be so superscribed 'Findings regarding suitability for promotion to the grade/post of.....in respect of Shri..... not to be opened till the conclusion of the disciplinary case/criminal prosecution against Shri..... the proceedings of the CPC need only contain the note "The findings are contained in the attached sealed cover'. The same procedure will be followed by the subsequent CPCs convened till the disciplinary case/criminal prosecution pending against the employee concerned is finally concluded.
- 2.8.4 In the event of delay in the conclusion of the disciplinary proceedings/criminal prosecution, the delay not being attributable to the charged employee, and the disciplinary proceedings/criminal prosecution against the employee concerned are not concluded even after the expiry of two annual CPCs from the date of the meeting of the first CPC which kept its findings in respect of the employee in the sealed cover, the Appointing Authority may review the case of the employee, provided he is not under suspension, and consider and order promotion of employee on adhoc basis, provided his case was recommended by CPC keeping in view the totality of the case, the availability of vacancy etc., The order of promotion should make it clear that the promotion is purely on adhoc basis, till further orders and it confers no right on the employee for regular promotion and that the Competent Authority reserves the right to cancel/revoke the adhoc promotion or to revert, at any time the employee to the post from which he was promoted on adhoc basis, without any formal proceedings.
- 2.8.5 On conclusion of disciplinary cases/criminal persecution etc., the promotion of the employee will be regulated as under
- (a) If the employee concerned is finally acquitted and is fully exonerated, the sealed cover recommendation shall be opened and in the event the employee was recommended for promotion by the Committee, the promotion shall be made effective from the date as would otherwise have been announced as if there were no proceedings against him. The financial benefits accruing due to promotion will be allowed with effect from the date of promotion order is issued and no arrear will be payable on this account, unless specifically mentioned otherwise in the promotion order.
- (b) If any penalty is imposed as a result of the disciplinary proceedings or if he is found guilty in the criminal prosecution against him, the findings of the sealed cover shall not be considered. His case for promotion may be considered by the next CPC in the normal

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course and having regard to the penalty imposed on him. Such employee shall, however, not receive promotion during currency of the punishment. Where adhoc promotion has been given as at 2.8.4 above will be cancelled/revoked.

3.0 Procedure

- 3.1 Written Test/Trade Test/Interview, wherever prescribed, of the candidates fulfilling all the eligibility conditions as mentioned hereinbefore, will be conducted once in a year in the same order. The number of eligible candidates to be trade tested will be limited to three times the number of anticipated vacancies and all those who qualify in the test will be allowed to appear for an interview before the Departmental Promotion Committee. The test will be conducted by a Committee comprising of General Manager's nominee, representative of the Head of the Department where the vacancy exists/is likely to occur, an officer of the Training Department and HR Officer/Senior HR Officer as nominated by the concerned Head of HR.

Where, in addition to Trade Test and Interview, the candidates are required to appear for Written Test also, the number of eligible candidates to be called for the written test should be limited to four/five times the number of anticipated vacancies. Out of those who qualify in the Written Test, the number of candidates to be called for Trade Test and/or Interview will be limited to three times the number of anticipated vacancies.

- 3.2 Departmental Promotion Committees for selecting candidates for promotion to various grades/posts will be constituted by the authority competent to approve the selection panels (General Manager).

Meeting of the Departmental Promotion Committee for promotion of Supervisors will be held once in a year.

The eligibility of supervisors for consideration for promotion to the next higher grade will be determined as on 1st of April with grace period of 1 month i.e those who complete the eligibility period as on 30th April will come under the zone of consideration for promotion.

Supervisors who are found suitable for promotion by Departmental promotion Committee will be considered for promotion effective from the dates as mentioned below:

- I) Supervisors who complete the eligibility period together with grace period as on preceeding 31st July will be considered for promotion w.e.f 1st January of the following year.
 - II) Supervisors who complete the eligibility period together with grace period as on 30th April will be considered for promotion w.e.f 1st April of that year.
- 3.3, The promotions will generally be based on seniority- cum-merit and the relative weightage for the different factors will be as follows :

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Seniority.....30 marks

CR Report/Merit Rating.....30 marks

Test, Trade Test & Interview.....40 marks

Total.....100 marks

In cases where no test and/or interview is involved, the total maximum marks will be 60. The merit rating reports for the last three consecutive years will be taken into account for the above purpose.

3.4 Based on the seniority position, the merit rating/CR Reports and results of the test/interview, the position of the candidates will be arranged in order of merit by the Committee. The qualifying marks will be 50% in each of the items in respects of which the candidates are evaluated. However, the qualifying marks for SC/ST candidates will be 40% in each of the items assessed.

3.5 Based on the above mentioned criteria, the panel of the successful candidates will be drawn up by the Committee on which every member of the Committee will affix his signature. Thereafter the panel will be put up for the approval of the competent authority who will be the General Manager of the concerned project/unit in all cases of promotions to non executive posts. The panel thus approved will be valid for a period of six months which can be renewed by the General Manager for a period not exceeding six months.

3.6 The approved panel as well as the concerned papers/document will be kept in the custody of the concerned HR Department, and the promotion orders in respect of the successful candidates will be issued in the following manner :

3.6.1 The orders of promotion of all non-executives will be issued by the concerned Heads of Department. Accordingly, following executives will sign the promotion orders :-

(a) At Projects/Regions Concerned DGM

(b) At Corporate Center Concerned GM/AGM

In case executives of the above mentioned level are not available in the department, the senior most executive of the department will sign the promotion order.

3.6.2 The promoted employees will be placed on probation for a period of six months, which may be extended wherever necessary.

If the performance of an employee during such probation including the extended period is not found satisfactory, he shall be reverted back to the lower post and he shall not be considered for promotion for one year from the date of his reversion.

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4.0 Appeal

An employee aggrieved due to his non-promotion may take recourse to the prescribed Grievance Procedure for redressal of the same.

5.0 General

The policy shall be reviewed after two years of its operation. The Management, however, reserves the right to modify, cancel, add or amend any of these rules at any time.

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RECORD OF REVISIONS

Section-Clause No.	Revision No.	Revision Date	Amendment Details
0402_02-Record of Revisions	0	23.07.2014	Provision updated

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