

# पावर ग्रिड कारपोरेशन ऑफ इंडिया लिमिटेड

(भारत सरकार का उद्यम)

## POWER GRID CORPORATION OF INDIA LIMITED

(A Government of India Enterprise)



पावरग्रिड

केन्द्रीय कार्यालय: "सौदामिनी" प्लॉट सं. 2, सेक्टर-29, गुडगाँव-122 001, (हरियाणा) दूरभाष: 0124-2571700-719, फ़ैक्स : 0124-2571762, "Saudamini" Plot No. 2, Sector-29, Gurgaon-122 001, (Haryana) Tel.: 0124-2571700-719, Fax : 0124-2571762, Web.: www.powergridindia.com

CP/RTI /2013/128

28<sup>th</sup> February, 2014

Shri Ajay Singh  
C/o Sardar Sunder Singh  
General Merchant Store  
Dhalli Bazaar  
Tehsil- Chandpur,  
Distt.- Bijnor (U.P.) - 246725

Sub: **Information under Right to Information Act, 2005.**

Dear Mr. Singh,

This is in reference to your RTI request dated 13<sup>th</sup> October, 2013 seeking information under RTI Act, 2005.

In this regard it may be informed that your RTI application was forwarded by MoP to POWERGRID vide its letter dated 23<sup>rd</sup> October, 2013 (received by undersigned on 4<sup>th</sup> November, 2013). The information sought available with Corporate Centre was forwarded to you vide our letter dated 16<sup>th</sup> December, 2014 to the mentioned postal address in the RTI request, however, the same was returned undelivered by the Postal department.

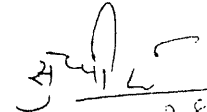
Part of the information in respect of point No. 1 was also pertaining to our regional offices i.e. NRTS-I & ERTS-I and POSOCO. Accordingly, your request was also forwarded to concerned CPIOs for providing the information directly to you.

Further, part of the information in respect of Point No. 1 (related to NRTS-I) was also dispatched twice to the given address by our CPIO, NRTS-I. However, these letters also could not be delivered at the given address as the addressee was not found and returned by the Postal department. The same was also informed to you vide our e-mail dated 16<sup>th</sup> February, 2014.

Now, as mentioned in your e-mail dated 19<sup>th</sup> February, 2014, the information sought is again being sent at your revised address.

Thanking You,

भवदीय,

  
(सुधीर मित्तल) 28/2/14

महाप्रबंधक(के.आ.)एवंके.लो.सू.अधिकारी

Attach: As above





The leave details for the above employee during the period for which they were not posted at Corporate Centre, is not readily available at Corporate Centre. Accordingly, your request has been forwarded to concerned Regional CPCs (copy attached) for providing the information directly to you.

2. Please find below the details of some of the promotions in PGCIL

- a) Promotion to E3 grade in 2008, 2009, 2013
- b) Promotion to E4 grade in 2011, 2012, 2013
- c) Promotion to E5 grade in 2013
- d) Promotion to E7 grade in 2012

In context to above promotions, kindly provide following information from 2.1 to 2.4

2.1 Kindly provide attested copy of entire chart/document showing the complete comparative assessment of every executive as assessed by the CPC.

Comparative assessment related to promotion of employees is a confidential document and the same can not be provided as per section 8(1)(e) and section 8(1)(j). CIC in its order dated 19.9.2013 has held that this was 3<sup>rd</sup> party information and also confidential in nature hence, the information was denied under the exemption from disclosure clauses of the RTI Act.

2.2 Kindly provide attested copy of all the documents related to final relative grading.

Final gradings of executives are mentioned in the Annual Appraisal Report or CPC evaluation sheets. Both the documents are exempted under section 8(1)(j) as the information requested is personal information the disclosure of which has no relationship to any public activity or interest, or which would cause unwarranted invasion of the privacy of the individual. CIC in its order dated 19.9.2013 has held that this was 3<sup>rd</sup> party information and also confidential in nature hence, the information was denied under the exemption from disclosure clauses of the RTI Act.

2.3 Kindly provide the attested copies of all the documents related to proceedings of CPC.

CPC proceedings are confidential in nature and contains personal information therefore, the appellant being 3<sup>rd</sup> party information can not be disclosed under section 8(1)(d) of the RTI Act. This has been clearly mentioned in the CIC order dated 19.9.2013 & 15.7.2013.

2.4 Which criteria was adopted –merit-cum-seniority or seniority-cum-merit?

Promotion policy of Executives attached.

3. Please find below the details of promotions given against each employee

- a) Sanjay Kumar Gupta, Emp.No.00931 (Promotion to E5 to E6)
- b) Shyama Kumar, Emp.No.01266 (promotion to E3 to E4)
- c) Rohit Kumar, Emp.No.01267 (promotion to E3 and E4)
- d) Ankur Bhandari, Emp.No.01444 (promotion to E3 and E4)

Kindly provide following information from 3.1 to 3.2 related to all appraisal reports in context to promotions as given against each employee-

- 3.1 Attached copy of all the documents related to achievement/special achievement of these employees that was taken into consideration while giving grades/marks in their appraisal reports.

Achievement/special achievements of an employee is mentioned in the Annual Appraisal Report. CIC order dated 19.9.2013 the performance of an employee/officer in an organization is primarily a matter between the employee and the employer and normally those aspects are governed by the service rules which fall under the expression "personal information", the disclosure of which has no relationship to any public activity or interest. On the other hand, the disclosure of which would cause unwarranted invasion of privacy of the individual. Therefore, this information is exempted under section 8(1)(j) of RTI Act.

- 3.2 Grading/marks given by reporting officer, reviewing officer, next higher executive who supervise the work and countersigning authority. Please note grading given to employees are disclosable under RTI. I do not want copy of appraisal report.

Grading/marks given by the reporting officer, reviewing officer, next higher executive who supervises the work and countersigning authority is mentioned in the Annual Appraisal Report. CIC order dated 19.9.2013 the performance of an employee/officer in an organization is primarily a matter between the employee and the employer and normally those aspects are governed by the service rules which fall under the expression "personal information" the disclosure of which has no relationship to any public activity or interest. On the other hand, the disclosure of which would cause unwarranted invasion of privacy of the individual. Therefore, this information is exempted under section 8(1)(j) of RTI Act.

- 3.3 Name of reporting officer, reviewing officer, next higher executive who supervise the work and countersigning authority.

Separate data of the names of reporting officer, reviewing officer, next higher executive who supervise the work and countersigning authority are not maintained. These informations are mentioned in the Annual Appraisal Report which can not be disclosed for reasons as mentioned in Answer 3.2.

4. Please find below the list of few employees who are dropped once, more than once and some in every promotion-

- i. Nitu Parganta, emp. no. 01286 (dropped once in every promotion.)
- ii. Pradeep Singh, emp. No. 01092 (dropped in promotion to E4 and E5)
- iii. Challe Narasimha Rao, emp. no. 31103 (dropped in promotion to E3)
- iv. Rakesh Singh, emp. No. 01312 (dropped in promotion to E3)
- v. Anita Shrivastava, emp. no. 00639 (dropped several times)
- vi. Vinay Kumar, emp. no. 11090 (dropped in promotion to E3)
- vii. Rahul Yadav, emp. no. 01276 (dropped once in every promotion)
- viii. Ronel Singh Hoarokcham, emp. no. 01446 (dropped in promotion to E4)
- ix. Sunil Kumar Singh, emp. no. 01263 (dropped once in every promotion)

- x. Ajay Kumar Singh, emp.no.01268 (dropped in promotion to E3)
- xi. Shalender Kumar Verma, emp.no.01404 (dropped in promotion to E4)
- xii. S.B. Tripathi, emp.no.01072 (dropped in promotion to E5 and E6)

Kindly provide following information from 4.1 to 4.5 related to all appraisal reports in context to promotions as given against each employee-

- 4.1. Please provide the details of employees who had adverse report in any of the appraisal report.

None of the employees mentioned above have been given adverse report in any of the appraisal report.

- 4.2. Grading/marks given by reporting officer, reviewing officer, next higher executive who supervise the work and by countersigning authority. Please note gradings given to employees are disclosable under RTI. I do not want copy of appraisal report.

Answer same as 3.2.

- 4.3. Name of reporting officer, reviewing officer, next higher executive who supervise the work and countersigning authority.

Answer same as 3.3.

- 4.4. If there is any appraisal report, which is coming in way of promotion, the said appraisal report should be communicated to the employee concerned. Non-communication of such appraisal reports is arbitrary and in violation of Article 14 of the Constitution of India.

The Supreme Court in the decision reported in (2008) 8 SCC725 (Dev.Dutt vs. Union of India) held that after recording ACR in the service register, the concerned employee should be put on notice and he should be given an opportunity to explain his position if he is not satisfied with the recording of ACR and non-communication of the same was treated as unfair and violative of the principles of natural justice.

While considering above facts, kindly provide following information from 4.41 to 4.4.4

- 4.4.1. Kindly provide details/documents wherein above employees were communicated such appraisal reports which were coming in way of their promotion.

Since the above employees were not rated as adverse, there is no document to be provided.

- 4.4.2. Kindly provide the details/documents wherein above employees were given opportunity to make representation for upgradation of such appraisal reports.

Since the above employees were not rated as adverse, the situation to make any representation for upgradation was not required.

4.4.3 If the employees were not communicated such appraisal reports, kindly provide attested copies of circular/guideline/policy on the basis of which it was done so.

Not applicable

4.4.4 If the employees were not given opportunity for representation for upgradation of grading in their appraisal report, kindly provide attested copies of circular/guideline/policy under which it was done so.

Copy of the appraisal policy is attached.

4.5 Downgrading in appraisal reports i.e. from very good to good or from outstanding to very good required to be communicated to the concerned employee.

Kindly see *Sh. J. S. Garg vs Union of India (UoI) and Ors.* On 16 August, 2002 wherein court upheld the requirement of communication of downgrading any subsequent ACR to the employee concerned, failing which the ACR could not be considered by the DPC.

Any failure in communicating downgrading in ACRs is in violation of the judgment of the Hon'ble Supreme Court in *U.P. Jal Nigam & others vs Prabhat Chandra Jain & Others* on 31 January, 1996.

While considering above facts, kindly provide following information from 4.5.1 to 4.5.3.

4.5.1 Kindly provide the details/documents wherein above employees were communicated downgrading in their appraisal report.

4.5.2 Kindly provide details/documents whether such downgraded appraisal report were considered by CPC/DPC without communicating to the concerned employee.

4.5.3 If the employees were not communicated downgrading in their appraisal report, kindly provide attested copies of circular/guideline/policy on the basis of which it was done so.

For point nos. 4.5.1, 4.5.2 and 4.5.3 - Copy of the appraisal policy is attached.

5. In the matter of promotions from E6 to E7 in 2012. Kindly furnish information as below

5.1 Attested copies of all documents related to instructions, Criteria and Guidelines on the basis of which nobody from ET (Executive Trainee) 1<sup>st</sup> batch was promoted to DGM (E7)

All promotions are based on POWERGRID Promotion Policy which is attached.

5.2 In context to criteria in the promotions, please provide following details from 5.2.1 to 5.2.2

5.2.1 Which criteria was adopted –merit-cum-seniority or seniority-cum-merit?

5.2.2 If some other criteria was adopted, kindly mention the same and also provide attested copies of circular/guideline/policy on the basis of which the criteria was adopted.

Same as 5.1

6 Kindly provide details as below-

6.1 Please mention whether all the entries in appraisal reports are communicated to concerned employee in PGCIL.

6.2 Please mention whether downgrading in appraisal report by higher authority is communicated to concerned employee in PGCIL.

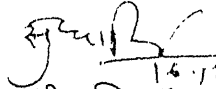
6.3 Please mention whether employees are given opportunity to make representation for upgradation of their appraisal reports in PGCIL.

6.4 Please mention whether CPC considers those appraisal reports which are not communicated to the concerned employee in PGCIL.

Point Nos. 6.1 to 6.4 - Appraisal Policy of POWERGRID is attached.

Thanking You,

भवदीय,

  
16.12.13  
(सुधीर मित्तल)

महाप्रबंधक (के.आ.) एवं के.लो.सू.अधिकारी

Copy to

Shri. Ajay Joshi  
The Under Secretary (PG) & CPIO  
Ministry of Power  
Shram Shakti Bhawan  
New Delhi - 110 001

o/c

RECORD OF LEAVES IN R/O REGULAR EMPLOYEES FOR THE PERIOD POSTED AT CORPORATE CENTRE

| S. No. | NAME                | EMP. NO. | PERIOD                   | TYPE OF LEAVE |     |     |     |    |      | TOTAL |
|--------|---------------------|----------|--------------------------|---------------|-----|-----|-----|----|------|-------|
|        |                     |          |                          | SI            | EDP | CML | FCI | DA | WAND |       |
| 1      | Shyama Kumari       | 1266     | 12.04.2005 to 31.12.2011 | 95            | 61  | 5   | 71  | 0  | 135  | 367   |
| 2      | Rahul Yadav         | 1276     | 12.04.2005 to 31.12.2011 | 99            | 18  | 38  | 0   | 15 | 0    | 170   |
| 3      | Nitu Pangamita      | 1286     | 12.04.2005 to 31.12.2011 | 23            | 20  | 0   | 0   | 0  | 135  | 178   |
| 4      | Rohit Kumar         | 1257     | 12.04.2005 to 31.12.2011 | 209           | 142 | 0   | 0   | 0  | 0    | 351   |
| 5      | Ankur Bhandari      | 1444     | 28.03.2006 to 31.12.2012 | 167           | 111 | 0   | 0   | 0  | 0    | 278   |
| 6      | sanjay Kumar Gupta  | 931      | 01.01.2006 to 31.12.2012 | 58            | 91  | 56  | 0   | 12 | 0    | 217   |
| 7      | Gaurav Agarwal      | 1701     | 01.09.2010 to 31.12.2012 | 35            | 20  | 0   | 80  | 0  | 0    | 135   |
| 8      | Shailendra Kr Verma | 1404     | 08.08.2006 to 31.03.2009 | 115           | 85  | 0   | 165 | 0  | 0    | 365   |





## ANNUAL PERFORMANCE ASSESSMENT FOR EXECUTIVES

The Performance Appraisal System in operation for the executives of the Company, as modified from time to time, will generally provide the basis for determination of merit, efficiency, potential and suitability of Executives and Managers for positions of higher responsibility in the appropriate higher grade.

In POWERGRID our endeavour is that the Appraisal System is used as an instrument for improving the work culture. The focus is on the developmental and not judgemental aspects and the company is utilising the appraisal system as an instrument for :-

Performance planning, analysis and review;

Generating a healthy problem-solving dialogue between the Reporting Officer and the Appraisee about work-related problems;

For improving communication and performance counselling;

For improving levels of motivation through goal clarity.

### Objectives of Performance Appraisal

To integrate company and individual goals through a process of performance assessment linked to achievements and organizational objectives.

To enhance awareness of targets/tasks and the responsibility of executives at all levels and to ensure fulfillment of organizational objectives.

To facilitate the organizational objective of assessment of performance and potential.

To distinguish between differing levels of performance on relative basis and to identify executives with potential to grow in the organization.

To spell out the development actions to be taken to improve the performance of the officers.

### Appraisal Year & Coverage

The appraisal year will be the financial year from 1st April to 31st March for executives in the level of E6 and above and calendar year from 1st January to 31st December for executives in the level of E5 and below.

The Appraisal Reports are required to be filled in, in respect of all the executives who have served for a period of at least three months in the Appraisal Year.



- 4.2 If an executive has served in more than one Region/Deptt./Unit or with more than one Reporting Officer for a period of at least three months in the Appraisal Year, separate reports have to be sent from each Region/Deptt./Unit.
- 4.3 Where more than 6 months of the appraisal year have elapsed at the time of consideration of an executive's promotion, a Special Performance Report for the part year will be obtained and taken into consideration along with the Reports of the previous years. Once the special report is followed and replaced by the usual annual report, the special report will no longer be taken into consideration.
- 4.4 Performance Appraisal Reports for any period of less than 6 months in an appraisal year will not be taken into consideration for the purpose of promotion. However, where two or more reports are written in any appraisal year by reason of an executive being posted under different reporting/countersigning officers, a single rating for the year will be determined by the Corporate Promotion Committee.
- 4.5 Where the case of an executive comes up for consideration for promotion before he completes the prescribed eligibility period on account of a seniority weightage granted to him as a part of the terms of his initial appointment, the rating given in the first appraisal report in POWERGRID, if for a period of 6 months or more, will be deemed to be the appraisal rating of the earlier years reports which are to be taken into consideration in accordance with this policy statement.
- 4.6 The Appraisal System will be on a five-point scale, that is Outstanding, Very Good, Good, Average, and Not Satisfactory, as defined in the Appraisal Formats. The final overall evaluation by the "Moderation Committee" will be taken into consideration for the purpose of aggregation and marks will be allotted to various ratings as follows :

| Rating           | For Promotions upto E4 | For Promotions from E4 to E5 & above |
|------------------|------------------------|--------------------------------------|
| Outstanding      | 8                      | 10                                   |
| Very Good        | 6                      | 8                                    |
| Good             | 4                      | 6                                    |
| Average          | 2                      | 4                                    |
| Not Satisfactory | 0                      | 0                                    |

5.0 **Target Setting and Feedback**

5.1 Review on periodic basis of performance norms and targets for each individual is imperative and the HODs may have developed their own alternatives with respect to maintaining such data. The tasks/targets/performance norms set for each individual will cover both innovative and routine aspects of the job. In assessing the achievement of the targets/tasks/norms, cognizance should be taken of the external constraints and special efforts that have been made to overcome these constraints.



development of subordinates is one of the important objectives of our performance appraisal system. The reporting officer must discuss employee's performance with him. The suggestions with regard to what should be the content or subject matter of the discussions with the appraisee are as follows :-

The content of what has been written in the self appraisal (part-I).

Difficulties and constraints in meeting the targets as also the contribution made by the appraisee, both tangible and intangible.

Strengths and weaknesses of the employee.

Extent of achievement, reasons for shortfall and measures to avoid likely shortfalls in future in target achievement.

Where the rating on performance and executive abilities is either 0 or 2, the same should be discussed.

Potential for undertaking jobs in other functions i.e. possibilities for job rotation could be discussed.

#### Procedure

An executive is expected to write Part-I (Self Appraisal) and forward the proforma to Reporting Officer.

#### Reporting

Reporting Officer will complete the report in the light of the periodic records/data of individual's targets and hand it over to the Reviewing Officer.

#### Review/Counter signature

Reviewing Officer after recording his review will send the Appraisal Report to other officers in the channel of reporting till the report reaches the final Countersigning Authority viz. General Manager/Executive Director of the respective Region who will then countersign the report in case of agreement and also record his assessment wherever different from those of the Reporting/Reviewing Officers.

#### Countersigning Authority

Final countersigning authority is as under :

Rank of Appraisee

Countersigning Authority

E4

1. Concerned GM
2. In case Reporting Officer is GM, then concerned ED.



- E5
1. Concerned ED or Director
  2. In case Reporting Officer is ED/Director, then the next higher level viz. Director/CMD

6.5 Whenever the overall assessment is 'outstanding' or 'not satisfactory' the Reporting/Reviewing Officer is required to substantiate the same with supporting facts.

6.6 Sufficient care should be taken to arrive at the overall rating on the basis of the ratings given on individual attributes of work performance and executive effectiveness factors.

#### 6.7 Procedure for Personnel & Finance Heads

The assessment of the performance appraisal reports of Heads of the two key functional disciplines viz. Human - Resource (including Training), Finance & Accounts at the Regions will be written/reviewed by the ED/GM and countersigned by the concerned Functional Director/ED at the CC. The same will apply in case of HR, F&A executives posted in the Sub-station in whose case the reports will be reviewed by Heads of HR/F&A of the Region also.

#### 7.0 Adverse Reports

7.1 In the event of the overall assessment being 'Not Satisfactory', a communication will be issued to the concerned executive after the report has been countersigned by the concerned authority. For this, the final countersigning authority will send back the report to the Reviewing Officer for issuing the necessary communication to the concerned executive. The communication will be issued by the Reviewing Officer along with details including facts and figures.

7.2 Comments, if any, of the appraisee will be asked on the adverse report. The adverse report along with the comments of the appraisee will be examined by the final countersigning authority who will record his final decision along with reasons. Wherever CMD is the Reporting Officer or Reviewing Officer, his decision regarding expunction/retention on the adverse comments after due examination of the explanation submitted by the appraisee will be final.

7.3 The final decision will be communicated by the Reviewing Officer to the appraisee.



**Normal Distribution Pattern of Appraisal Ratings**

In appraisal of any population, the normal distribution pattern invariably holds good, though there may be with minor variations. Keeping this in view, while completing the appraisal reports, it should be ensured that :

|                  |        |
|------------------|--------|
| Outstanding      | 15-20% |
| Very Good        | 35-40% |
| Good             | 40-45% |
| Average          | 15-20% |
| Not Satisfactory | 0-5%   |

The above mentioned distribution pattern is not confined to the population falling in the line of consideration for promotion alone but is applicable for the total population.

**General**

Where the overall assessment is being changed at higher levels, the authorities may keep the Reporting Officer(s)/Reviewing Officer(s) informed of such changes.

**Schedule**

The AARs in respect of Executive whose appraisal year is calendar year will have to be completed as per the following schedule :

|          |                                       |              |
|----------|---------------------------------------|--------------|
| Part-I   | To be filled by the Appraisee         | 05th January |
| Part-II  | To be filled by the Reporting Officer | 12 January   |
| Part-III | To be filled by the Reviewing Officer | 15th January |
|          | Overall Evaluation                    | 22nd January |
|          | All reports to reach HOP, Region      | 25th January |
|          | All reports to reach HRM Deptt. CC    | 31st January |

It is the responsibility of the HOP of the region to obtain the previous AARs of the employees from their erstwhile organisations.



**STATEMENT OF COMPANY POLICY REGARDING PROMOTION  
OF EMPLOYEES IN EXECUTIVE CATEGORY**

**1.0 SCOPE AND COVERAGE**

1.1 This Statement of Company Policy will be applicable to all POWERGRID personnel on the regular rolls of the Company in the following executive grades:

| Grade | Present Scale of Pay |
|-------|----------------------|
| E1    | 10750 - 16750        |
| E2    | 11225 - 17250        |
| E2A   | 12000 - 17500        |
| E3    | 13750 - 18700        |
| E4    | 16000 - 20800        |
| E5    | 17500 - 22300        |
| E6    | 18500 - 23900        |

1.2 The Policy Statement will not be applicable to executives who are appointed in a grade for a limited tenure, superannuated persons reappointed in the Company's service and to other executives appointed on a purely casual or temporary basis.

1.3 Executives in whose cases a clause in the terms of initial appointment explicitly provides for eligibility for consideration for promotion after completion of a specified period of service in the grade in which the executive initially joins the Corporation, will be excluded from the purview of this Policy Statement.

1.4 Executives who are on deputation to POWERGRID or who retain lien on the service of the parent organisation will not be covered by this Policy Statement.

**2.0 PHILOSOPHY AND OBJECTIVES**

2.1 POWERGRID as a Company subscribes to the philosophy of generating growth from within, and in pursuance thereof, endeavours to achieve synchronisation of the goals and objectives of the organisation with the aspirations for growth and development of the individual employees.

2.2 POWERGRID hereby declares that it will be the Company's general policy to look within the organisation for suitable persons with the requisite skill, expertise, merit and suitability for filling up the senior executive positions.



- 2.3 Notwithstanding anything stated above, POWERGRID will take recourse to lateral entry at all levels from outside to the extent considered necessary to ensure infusion of new blood and fresh outlook brought in by specialised/experienced personnel from other reputed organisations from India and abroad with a view to sustaining the vigour and vitality of POWERGRID as a leading and progressive organisation.
- 2.4 The basic induction level into the executive cadre in POWERGRID is E-2A grade to which entry will be largely through the Company's Executive Trainee Scheme, but it will be ensured that such induction will not impair the growth opportunities for the meritorious and talented executives in E-2 grade.
- 2.5 In order to facilitate the fulfilment of the growth expectations, POWERGRID will strive to create and sustain an environment conducive to efficient and effective functioning of the executives in their roles and responsibilities and to provide the necessary scope and facilities for development of technical and managerial skills and capabilities through training, job rotation, opportunity to serve in the field, job enlargement and job enrichment. Executives are expected to avail fully of the developmental opportunities, as mere reliance on length of service may not be sufficient to meet fully their growth aspirations.
- 2.6 Consistent with and subject to the above principles and Company philosophy, POWERGRID lays down herein its Promotion Policy for the executives and managerial personnel with the following as the objectives :
- 2.6.1 To motivate and enthuse executives and managers for better and more effective performance by rewarding them with promotion to positions of higher responsibility commensurate with their merit and ability and contribution towards the achievement of the organisational goals and objectives.
- 2.6.2 To lay down clear and unambiguous principles to regulate promotion of executives to available higher positions consistent with requirements of the Company.
- 2.6.3 To ensure uniformity, consistency and fairness in the promotion of Company executives as between various disciplines, projects and establishments of the Company.
- 2.6.4 To communicate to the executives the requirements of performance, merit and other conditions prerequisite to promotion and the events and circumstances which might disqualify them from being promoted.
- 3.0 **General Principles**
- 3.1 Promotion of executives to positions in next higher grades will be solely on the basis of merit, efficiency, grade service and suitability. In view of the fact that such merit, efficiency and suitability can be meaningfully determined on the basis of assessment of performance and potential over a reasonable period, there shall be a minimum period of service in a grade to be called "Eligibility Period" and only those Executives who



complete the minimum period so prescribed will be eligible for consideration for promotion to the next higher grades.

- 3.1.1 The Promotions to the grade of E5, E6 & E7 will be subject to notified vacancies. However, vacancy may not be a constraint for promotions upto E4 grade.
- 3.2 Wherever limited applicability of seniority is provided in this policy, such seniority will be determined with reference to one or more of the following factors :
  - 3.2.1 Length of service in a grade from the date of joining inclusive of seniority weightage, if any or from the date of promotion in POWERGRID.
  - 3.2.2 Merit position in the selection panel where date of joining is the same or the merit position in Corporate Promotion Committee minutes where date of promotion is the same.
- 3.3 Cases of eligible personnel in the executive cadre may be taken up for consideration for promotion at any time depending upon the availability of vacancies and exigencies of work. Promotions will take effect from the date of assumption of charge of the higher post or the date of issue of order or any prospective or retrospective date as may be specified in the promotion order. However, to enable promotions being effected in a planned and rational manner and to ensure that anomalies and unavoidable widening of inter-se-differences are kept down to the minimum, promotion of executives to available vacancies in grades upto and including E-6 will normally be made effective from standard date/dates.

The standard dates and other matters relating to eligibility date etc. shall be regulated as under :

- a) Meeting of the Corporate Promotion Committee for promotion of executive will be held once in a year. The eligibility of an executives upto and including the grade of E6 will be determined as on 1st of April with grace period of one month i.e. those who complete the eligibility period as on 30th April will come under the zone of consideration.
- b) Executives in the grade of E5 and below who are found fit for Promotion by the Corporate Promotion Committee will be considered for promotion effective from the dates as mentioned below :
  - (i) Executives who completed the eligibility period together with the grace period as on preceding 31st July will be considered for promotion from 1st January preceding the April CPC proceedings.
  - (ii) Executives who complete the eligibility period as on 30th April (inclusive of grace period) will be considered for promotion from 1st April.





- c) However, in the case of promotion of executives from the grade of E6 to the grade of E7 the promotion will normally be effective from the date of issue of the promotion orders.
- 3.4 It would be essential to clear a departmental examination of standard equivalent to bachelor in engineering for any executive who possesses only diploma in engineering qualification, to be promoted beyond the grade of Deputy Manager. This condition will be relaxable by CMD only in exceptional cases where knowledge and performance of an individual is adjudged, by a committee duly constituted for this purpose, to be equivalent to a degree in engineering and CMD is satisfied that such relaxation is justified.
- 3.5 Those Doctors who do not possess post-graduate degree such as MD/MS can, at the most be promoted upto the level equivalent to Deputy Manager (Grade E4). This condition will be relaxable by CMD only in exceptional cases where knowledge and performance of an individual is adjudged, by a committee duly constituted for this purpose, to be equivalent to a post-graduate degree such as MD/MS and CMD is satisfied that such relaxation is justified.
- 3.6 For consideration of Executives in the grade of E6 for promotion to E7, field Exposure is considered desirable except in cases of Specialisation/Expertise which are required to meet the organisational needs.
- 4.0 **Appraisal System - Basis for assessment of merit and suitability :**
- 4.1 The Performance Appraisal System in operation for the executives of the company, as modified from time to time, will generally provide the basis for determination of merit, efficiency, potential and suitability of executives and Managers for positions of higher responsibility in the appropriate higher grade, as relevant.
- 4.2 The appraisal year will be the calendar year for executives in the grades upto and including E5. For E6 and above, the appraisal year will be the financial year from 1st April to 31st March. Where more than 6 months of the appraisal year have elapsed at the time of consideration of an executive for promotion, a Special Performance Report for the part year may be obtained and taken into consideration along with the Reports of the previous years. Once the special report is followed and replaced by the usual annual report, the special report will no longer be taken into consideration.
- 4.3 Performance Appraisal Report for any period of less than 6 months in an appraisal year will not be taken into consideration for the purpose of promotion. However, where two or more reports are written in any appraisal year by reason of an executive being posted under different reporting/countersigning officers, a single rating for the year will be determined by the Corporate Promotion Committee.
- 4.4 Where the case of an executive comes up for consideration for promotion before he completes the prescribed eligibility period on account of a "seniority weightage" granted to him as a part of the terms of his initial appointment, the rating given in the first



appraisal report in POWERGRID, if for a period of 6 months or more, will be deemed to be the appraisal rating of the earlier years' reports which are to be taken into consideration, in accordance with this policy statement.

- 4.5 The Appraisal System will be on a 5 point scale i.e "Outstanding", "Very Good", "Good", "Average" and "Not Satisfactory" as defined in the Appraisal formats. The final overall evaluation by the "Moderation Committee" will be taken into consideration for the purpose of aggregation and marks will be allotted to various ratings as follows :

| Rating           | For Promotions upto E4 | For Promotions from E4 to E5 & above |
|------------------|------------------------|--------------------------------------|
| Outstanding      | 8                      | 10                                   |
| Very Good        | 6                      | 8                                    |
| Good             | 4                      | 6                                    |
| Average          | 2                      | 4                                    |
| Not Satisfactory | 0                      | 0                                    |

5.0 **Eligibility Periods**

- 5.1 The eligibility period for consideration of executives in the grades as mentioned below for promotion to the next higher grades shall be as under:

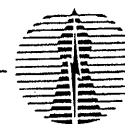
| Executive in Grade of | Eligibility period (years) |
|-----------------------|----------------------------|
| E-2                   | 1                          |
| E-1, E-2A, E-3 & E-4  | 3                          |
| E-5 & E-6             | 4                          |

It is on completion of the minimum period of service in the grades as prescribed above, as on 30th April (inclusive of the grace period of one month) that an executive will become eligible for consideration for promotion to the next higher grade.

- 5.2 In the case of promotions of executives in the pay scales of E-5 and E-6, normal period of eligibility will be four years but keeping in view the special requirements of the organisation in this fast expanding phase when it may be considered desirable to fill vacancies in higher grades with executives from within rather than resorting to recruitment from outside, the eligibility period may be relaxed at the sole discretion of the Chairman & Managing Director upto a maximum of 6 months in exceptional cases.
- 5.3 There will be a grace period of a maximum of one calendar month for the purpose of determination of the eligibility periods as above.



- 5.4 While computing the length of service rendered by an executive in his existing pay scale, the seniority weightage granted to him in that pay scale, if any, as laid down in the terms of initial appointment will be taken into account.
- 6.0 **Constitution & Role of Corporate Promotion Committee (CPC)**
- 6.1 CMD shall have the powers to constitute Corporate Promotion Committee (CPC), as considered appropriate by him, from time to time.
- 6.2 CPC will consider the suitability or otherwise of the eligible executives for promotion to the appropriate next higher grade, on the basis of their qualification, grade service, performance and potential as reflected in the Appraisal Reports, Interview (wherever applicable) and other documents, relevant records in the personal files and any other information/reports having a bearing on their suitability for assuming positions in the next higher grade.
- 6.3 In addition to the above, the CPC shall interview the eligible executives in E5 and E6 grades, with a view to ascertain their suitability for the next higher position.
- 6.4 The CPC shall take into consideration the Performance Appraisal Reports including Special performance Report, if any, for the last One/Three/Four years as the case may be depending upon the eligibility period prescribed at para 5.1 above.
- 6.5 While considering promotions after taking into account all relevant factors, the CPC will award upto a maximum of 5 marks (for promotion to E2, E3 & E4 grade), 3 marks (for promotion to E2A grade), 15 marks (for promotion to E5 grade) and 20 marks (for promotion to E6 & E7 grades) to each eligible executive, keeping in view;
- a) the desirability of according special recognition to experience and performance in the field consistent with the company's priorities;
  - b) the need to ensure uniformity, consistency and equitability;
  - c) potential and suitability for the specific job position to which he is to be promoted;
  - d) general conduct, personality and sense of involvement and commitment to the organisation; and
  - e) the upward or downward trend in the appraisal ratings. In case of upward trend, the CPC might consider awarding higher marks as compared to the cases where there has been a downward trend, other things remaining equal.
- 6.6 The marks secured by each eligible executives from the Performance Appraisal Reports, Grade Service and mark awarded by CPC (wherever applicable) will be aggregated. Those executives who have been found suitable for promotion will be ranked in order of merit. Where aggregate of marks is the same, they will be ranked in order of seniority.



6.7 Subject to fulfilment of the principles, minimum criteria and other conditions as laid down herein and subject to other relevant rules and orders in force in the company, the CPC will recommend for approval of the Chairman and Managing Director or any delegated authority, a panel of names of eligible executives, ranked in order of merit, who are considered suitable for promotion to specific appropriate positions in the next higher grade. Where the Chairman and Managing Director himself is the Chairman of the CPC, the said panel will be deemed to have been approved. The panel so approved will constitute the basis and authority for promotion of executives to the appropriate higher grade.

6.8 Human Resource Department will provide all necessary support to the CPC, including constitution and convening of meeting of CPC, recording of minutes, furnishing of information and records, analysis and report on the Appraisal Ratings, available vacancies etc.

7.0 **Criteria and Conditions for Promotion and Disqualification from Promotion**

7.1 Factors which are to be taken into account for determining suitability for promotion of an executive and the weightage therefore shall be as under:

- a) Promotion of executives from the grades of E1 to E2, E2A to E3 and E3 to E4:

| Sl. No. | Factors  | Maximum Marks |
|---------|--|---------------|
| i)      | Performance Appraisal Ratings (for last 3 years) | 24            |
| ii)     | Grade Service                                    | 16            |
| iii)    | CPC Marks  | 5             |
| Total   |  | 45            |

The marks for Performance Appraisal Ratings will be as given in Para 4.5.

The marks for Grade Service will be as under :

| Grade Service   | Marks |
|-----------------|-------|
| 3 years         | 10    |
| 4 years         | 13    |
| 5 years & above | 16    |

The Qualifying Marks for promotability will be 32 (thirty two).

**NOTE:** Executives in E2 grade, other than executive trainees, will be designated as Sr. Asstt. Engineer/Sr. Asstt. Officer.



b) Promotion of executives from the grade of E2 to E2A

| Sl. No. | Factors                                       | Maximum Marks |
|---------|---|---------------|
| i)      | Performance Appraisal Ratings (for last year) | 8             |
| ii)     | Grade Service                                 | 4             |
| iii)    | CPC marks                                     | 3             |
| Total   |   | 15            |

The marks for Performance Appraisal Ratings will be as given in Para 4.5

The marks for Grade Service will be as under :

| Grade Service  | Marks |
|----------------|-------|
| 1 year         | 3     |
| 2 year & above | 4     |

The Qualifying Marks for promotability will be 10 (ten).

c) Promotion of executives from the grades of E4 to E5

| Sl. No. | Factors  | Maximum Marks |
|---------|--|---------------|
| i)      | Performance Appraisal Ratings (for last 3 years) | 30            |
| ii)     | Grade Service                                    | 15            |
| iii)    | CPC  | 15            |
| Total   |  | 60            |

The marks for Performance Appraisal Ratings will be as given in Para 4.5.

The marks for Grade Service will be as under:

| Grade Service   | Marks |
|-----------------|-------|
| 3 years         | 8     |
| 4 years         | 10    |
| 5 years         | 12    |
| 6 years & above | 15    |

The Qualifying Marks for promotability will be 45 (Forty Five).



- d) Promotion of executives from the grades of E5 to E6 and E6 to E7

| Sl. No. | Factors  | Maximum Marks |
|---------|--|---------------|
| i)      | Performance Appraisal Ratings (for last 4 years) | 40            |
| ii)     | Grade Service                                    | 20            |
| iii)    | CPC  | 20            |
|         | Total  | 80            |

The marks for Performance Appraisal Ratings will be as given in Para 4.5.

The marks for Grade Service will be as under :

| Grade Service   | Marks |
|-----------------|-------|
| 4 years         | 12    |
| 5 years         | 14    |
| 6 years         | 17    |
| 7 years & above | 20    |

The 'Qualifying Marks' for 'promotability' will be 60 (Sixty).

- 7.2 No employee whose Performance Appraisal Report for the last year or Special Performance Report, if any, is "Not Satisfactory" will be considered for promotion.
- 7.3 No employee under suspension 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.
- 7.3.1 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 (Corporate Promotion Committee) 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.



- 7.3.2 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 ad-hoc 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.
- 7.3.3 On conclusion of disciplinary cases/criminal prosecution etc. the promotion of the employee will be regulated as under :
- i) 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. However, whether the concerned employee will be entitled to any arrears of pay for the period of notional promotion preceding the date of actual promotion and if so, to what extent, will be decided by the Competent Authority by taking into consideration all the facts and circumstances of the disciplinary proceedings/criminal prosecution. Where the authority denies arrears of salary or part of it, it will record its reasons for doing so. The financial benefits for the period of notional promotion will not be paid unless specifically mentioned otherwise in the promotion order.
  - ii) 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 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 7.3.2 above will be cancelled/revoked.
- 7.4 In case of transfer on promotion, the promotion will be effective from the standard date or notified date, provided the concerned executive joins at the new place of posting within a period of not more than two months from the date of issuance of the promotion order failing which the promotion will be regulated as under :
- a) In case the concerned executive joins at the new place of posting beyond two months but within 6 months from the date of issuance of the promotion order, the promotion will be effective only from the actual date of joining at the new place of



posting. However, in exceptional cases, based on merits of the case, the promotion can be considered to be notionally effective from a date prior to the actual date of joining, as may be decided by the Competent Authority. The financial benefits on account of promotion will be allowed only from the actual date of joining the new place of posting.

- b) In case the concerned executive does not join at the new place of posting within 6 months from the date of issuance of the order, the promotion order would stand automatically cancelled and withdrawn and his case for promotion to the next higher grade will be considered afresh by the next CPC, as per policy.

## 8.0 Probation

8.1 All Executives promoted to the grades of E6 & E7 shall be placed on probation for a period of one year from the date of assumption of charge in the next higher grade. The period of probation may be extended at the discretion of the Competent Authority but will not be extended by more than one year save for exceptional reasons to be recorded in writing.

8.2 Every executive promoted to the higher grade will be issued a formal order of confirmation on satisfactory completion of the probationary period or the extended period of probation as may be applicable. The executive will be deemed to be on probation until so confirmed in writing.

8.3 An order relating to confirmation or extension of probation will normally be communicated within one month from the date of completion of the probationary period or the extended period of probation. Non-compliance of this stipulation will not, however, result in automatic confirmation of the executive concerned.

8.4 If during the probationary period or extended period of probation, the performance of the executive is not found satisfactory or upto the standard required for the promoted post, the executive shall be reverted back to the pre-promotion grade. After reversion, the employee will not be considered for promotion to the higher grade for a period of one year from the date of reversion.

## 9.0 Reservation for SC/ST

The directives of the Central Government with regard to the reservation of posts for Scheduled Caste/Scheduled Tribe candidates in the matter of promotion will be kept in view while effecting promotions of executives.

## 10.0 General

The Management reserves the right to modify, cancel, add or amend any of the provisions of the policy at any time.