



H.P. POWER TRANSMISSION CORPORATION LIMITED
(A State Government Undertaking)

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HPPTCL's POLICY REGARDING PROMOTION OF EXECUTIVES

1.0 PHILOSOPHY & OBJECTIVES:

- 1.1 HPPTCL subscribes to the philosophy to generating growth from within and in pursuance thereof endeavors to achieve synchronization of the goals and objectives of the organization with the aspirations for growth and development of the individual employees.
- 1.2 In order to facilitate the fulfillment of the growth expectations, HPPTCL will strive to create and sustain an environment conducive to effective and efficient 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, job enlargement and job enrichment. Accordingly, 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.
- 1.3 Consistent with the Company philosophy, HPPTCL lays down here- under the Promotion Policy for the executives of the Corporation, with the following as the objectives:
 - i) To motivate and enthuse executives for better and more effective performance by rewarding them with promotions to positions of higher responsibility commensurate with their merit, ability and contribution towards the achievement of the organizational goals and objectives.
 - ii) To lay down clear and unambiguous principles to regulate promotion of executives to avail higher positions consistent with the requirements of the Company.
 - iii) To ensure uniformity, consistency and fairness in the promotion of company executives.
 - iv) To communicate to the executives the requirements of performance, merit and other conditions pre-requisite to promotion.

2.0 SCOPE COVERAGE:

- 2.1 This Statement of Company Policy will be applicable to employees in the executive category for promotion up to level borne on the regular rolls of HPPTCL.

- 2.2 The Policy Statement will not be applicable to executives who are appointed for a limited tenure, superannuated persons reappointed in the Company's service and to other executives appointed on a purely casual or temporary basis.
- 2.3 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 as such cases already get covered under Policy Statement on Manpower recruitment.
- 2.4 Executives who are on deputation to HPPTCL or who retain lien on the service of the parent organization will not be covered by this policy statement.
- 2.5 HPSEB executives working on deputation basis in HPPTCL shall also not be covered by this policy statement.

3.0 GENERAL PRINCIPLES:

- 3.1 Promotion of executives to positions in next higher grades will be on the basis of seniority, merit, grade service, efficiency, suitability and vacancy up to promotion from E6 to E7 grade and below. For promotion from E7 to E7A and above, merit in the interview with selection committee will form the basis.
- 3.2 Executive levels up to E7A will be aggregated in the following clusters:-
- E2/E3 - Junior Management.
 - E4/E5 - Middle Management (M1)
 - E6 - Middle Management (M2)
 - E7/E7A - Sr. Management (SM1)

EXPLANATORY NOTE

Section will be headed by a middle management level i.e., M1 level executive.

A Division will be headed by an executive at the level of E6 level i.e., M2. A Division may consist of one or more sections.

Several Divisions will form a group to be headed by SM1 level executive called the Group Head.

- 3.2.1 Promotion of executives within one cluster of grades shall be on the basis of combined sanction for all posts in the cluster, after due recommendations of DPC. Promotion from one cluster to another cluster will take place only, if vacancy exists in the higher cluster.
- 3.3 The executives due for promotion up to the level E7A will be considered for promotion twice in a year i.e. with effect from the 1st of January and 1st of July every year. In cases where promotions are coupled with transfers, the

same will come into effect only upon the employee taking charge at the new place of posting.

- 3.4 It would be essential to acquire a qualification equivalent to degree in engineering for an executive who possesses only diploma in engineering qualification, to be promoted beyond the grade of Manager (E5).
- 3.5 For Promotion beyond E5 in non-technical disciplines the essential qualifications shall be as under: -

Sr. No.	Functions	Qualifications
1.	Personnel & Admn.	Post Graduation degree or equivalent or MBA or Diploma in Personnel Management or Industrial Relations, Social Work/Social Science or Industrial Engineering or equivalent from a recognized University/Institute.
2.	Official Language (Hindi)	A post graduate degree in Hindi with English as a subject in the degree examination from a recognized university /Institute.
3.	Public Relations	Graduate with Post Graduate Diploma in Journalism or Public Relations or Mass Communication from recognized University/institute.
4.	Finance	ACA/FCA, AICWA/FICWA/MBA Finance from a recognized University/institute.
5.	Law	Degree in law from a recognized university/institute
6.	Company Secretary	Graduate with ACS from a recognized University/Institute.
7.	Geology	M.Sc. Geology, M.Sc (Applied Geology)/M.Sc. (Geo-physics) with Engineering Geology as the main subject, from a recognized University/Institute
8.	EDP	Bachelor degree in Computer Engineering/MCA or equivalent from a recognized Univ./Institute.

Note:

(i) Executives in PR discipline who do not possess prescribed qualification as indicated above shall be considered for promotion up to E5 after putting in four years service in the same grade and qualifying departmental examination.

(ii) Promotion beyond E5 will be considered only if PR Executives possess either the prescribed qualification or an MBA in which one of the courses/papers shall be Marketing Communication and Advertisement Management.

- 3.5.1 If an executive, who is already working in a position beyond E3 level and does not possess prescribed qualification as stipulated under para 3.4 and 3.5, is also required to pass the departmental examination for further promotion up to E5 level.

Note: Once an Executive secures qualifying marks in a paper(s) is not further required to appear in the same paper(s). Executives are required to appear

only in the left-out paper(s) in the subsequent departmental examination. However Executives should qualify in all papers taken together in a maximum of four attempts.

- 3.6 The probation of an Executive on promotion shall commence from the date of promotion.
- 3.7 Employee in Sports, Library and Secretarial discipline will be given option for merging in P&A discipline and can be considered on fulfillment of following.
- a) Having worked satisfactorily for at least two years in P&A Department after obtaining prescribed qualification.
 - b) Out of 3 preceding AAR's at-least 2 should have been rated Very Good.
 - c) Merger option is to be exercised between S4 to E3 level.
- 3.8 Executive of PR, OL & Law discipline will not be considered for merger.
- 3.9 The following will be the highest levels in OL, PR, Law, Library, Sports & Secretarial disciplines.

Discipline	Level
OL	E6
PR & Law	E7A
Library, Sports	E5.
Secretarial	E5

- 3.10 Executive, who had been promoted from Supervisory Grade to E2 under clause 3.2.1 of Statement of Company Policy regarding Promotion of Supervisors , shall not be promoted beyond E3 level unless he acquires prescribed qualification or qualify department examination within six year of promotion.
- 4.0 ELIGIBILITY PERIOD:
- 4.1 In view of the fact that 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 the "Eligibility Period": and only those executives who complete the minimum period so prescribed will be eligible for consideration for promotion to the next higher grade.
- 4.2 Eligibility period shall be as under:

Category	Period
Executive possessing prescribed qualification	3 years
Executive not possessing prescribed qualification	4 years
Executives of Library & Sports	4 years
Secretarial Discipline	4 years.

4.3 In case where company's selection board during the interview has found a candidate suitable for a post higher than his eligibility for the post and has given promotion commitment in exceptional cases, either, Managing Director HPPTCL or BODs will be competent to relax the eligibility period for promotion and promote the employee as per the commitment for promotion.

5.0 STANDARD DATES FOR PROMOTION:

5.1 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 E7 to E7A will normally be made effective from standard date/dates.

5.2 While determining the eligibility period, the seniority weightage granted to an executive, as laid down in the terms of appointment, will be taken into account.

5.3 Executive in the grade of E7 and below, who are found fit for promotion will be considered for promotion effective from the standard dates, as mentioned below:

- a) Executives who complete the eligibility period as on 1st January shall be considered for promotion from 1st January; and
- b) Executives who complete eligibility period as on 1st July shall be considered for promotion from 1st July.
- c) An executive who has been considered by DPC(s) and is not found suitable for promotion will become due to be considered from next year from the date arrived at as per sub para (a) & (b) above i.e. One full year will be added to his eligibility date every time he/she is dropped by DPC.
- d) Executives, who were not promoted due to non availability of vacancies, will be considered by DPC from immediate next standard date. However, candidates will have to compete with the new batch and merit shall be drawn by the DPC by considering the factors as envisaged herein.

6.0 PERFORMANCE APPRAISAL:

6.1 The Performance Appraisal System in operation for the employees of the company, as modified from time to time, will generally provide the basis for determination of merit, efficiency, potential and suitability of employees for promotion to the next higher grades.

6.2 The appraisal year shall be the calendar year for the executives. Targets will be set by the controlling officers for all the subordinates during the last quarter of the preceding year. A copy of the targets so set will be sent to the concerned P&A Deptt., and the Annual appraisal/ Assessment Report format shall be same as prescribed from time to time. In respect of executives who have been transferred on deputation to other organizations, the concerned Personnel Deptt. Shall maintain and obtain annual appraisal report. The authorities and procedure for annual assessment shall be as per HPPTCL rules.

- 6.3 Where more than 6 months of the appraisal year has elapsed at the time of consideration of an executive for promotion, a Special Performance Report for the past year may be obtained, which will be 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. 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/countersigned officers, a single rating for the year will be determined by the Departmental Promotion Committee.
- 6.4 The Appraisal System will be on a 5-point scale, as defined in the Appraisal formats. For the purpose of promotion to the next higher grades up to the grade E6 to E7 and below the ratings given in the Annual Appraisal/Assessment Reports shall be converted into points, as under, subject to overall assessment by moderation committee.

Rating	Points rating for 3 years eligibility	Points rating for 4 years eligibility.
Exceptional	15	11.25
Very effective	12	9
Effective competent	9	6.75
Average	6	4.5
Not satisfactory	Nil	Nil

- 6.4.1. In case, the MD is the Accepting Authority and incumbent of the MD post ceases to be in employment, the Reviewing Officer will be treated as the Accepting Authority. Where the Accepting Authority is other than MD and such incumbent ceases to be in employment, the next higher authority will be treated as the Accepting Authority. If the incumbent of Reporting/Reviewing authority ceases to be in employment the next higher authority will be considered Reporting/Reviewing authority. On superannuation/resignation the acceptance of Annual Appraisal Report shall be done within one month from the date of superannuation/resignation.

6.5.1 COMMUNICATION OF ADVERSE REMARKS:

In the event of the overall assessment being 'un-satisfactory/not-satisfactory' communication will be issued to the concerned Executive within one month of the report being counter-signed by the counter-signing authority. For this, the counter signing authority will send back the report to the reviewing officers for issuing the necessary communication to the concerned Executive. The communication issued by the reporting/reviewing officer will contain all details and specific facts and figures substantiating the adverse remarks. The identity of the superior officer need not be disclosed.

- 6.5.2 The appraisee concerned will be asked to give his comments on the communication issued. The appraisee should give his comments within one month of the receipt of the communication. The adverse report along with comments of the appraisee will be examined by the counter-signing authority,

in consultation with the reporting and reviewing officers, who will record his final decision along with reasons. In case the adverse remarks have been recorded by the counter-signing authority, an officer senior to the counter signing authority in consultation with the countersigning authority and the reviewing officer shall record the final decision along with reasons. The final decision will be taken within one month of the receipt of the comments/representation of the Appraisee. Wherever, the reporting/reviewing counter-signing officer is MD, his decision regarding expunction/retention of the adverse comments after due examination of the explanation submitted by the appraisee will be final.

6.5.3 The final decision will be communicated to the appraisee with regard to:

☐ The earlier assessment being retained.

Or

☐ After due consideration the earlier remarks are expunged and the same being noted in the appraisal form.

7.0 GRADE SERVICE:

7.1 The points for grade service i.e. service rendered by the executive in their respective grades up to the level E6 and below shall be as under;

Grade service	Points rating for promotion	
	From E3 to E4 and E5	From E5 to E6 and E6 to E7.
3 years	18	9
4 years	20	11
5 years	22	13
6 years and above	25	15

8.0 CRITERIA FOR PROMOTION TO NEXT HIGHER GRADE:

8.1.1 CRITERIA FOR PROMOTION FROM E3 TO E4 AND E4 TO E5 LEVEL.

Factors which are to be taken into account for determining the suitability for promotion of an executive in the above grades and the weight ages thereof will be as under;

Factors	Maximum Points
Performance Appraisal Rating (For last 3/4 years)	45
Grade Service	25
DPC	30

8.1.1(a) 30 marks to be allotted by DPC will be allocated in the following manner:

Professional/Technical knowledge	10
Extraordinary task completed	10
Executive like qualities	5
General reputation	5

- 8.1.1(b) In case an Executive has been transferred from one station to another station after completing 3 years at one station because of any reason whatsoever, attributable to the Executive, the transfer is not effected five marks will be deducted from the 30 to be allotted by the DPC.
- 8.1.2 Points for performance appraisal ratings will be as per para 6.4 and for grade service will be as per para 7.1.
- 8.1.3 The "Qualifying Points" for "Promotability" will be 75.
8. 2 For promotion from E5 to E6 and E6 to E7 grade.
- 8.2.1 Factors which are to be taken into account for determining the suitability for promotion of an executive in the above grades and the weight ages thereof will be as under;

Factors	Maximum Points
Performance Appraisal Rating	45
Grade Service	15
DPC	40

- 8.2.1(a) 40 marks to be allotted by DPC will be allocated in the following manner:

Professional/Technical knowledge	20
Extraordinary task completed	10
Officer like qualities	05
General reputation	05

- 8.2.1(b) In case an Executive has been transferred from one station to another station after completing 3 years at one station because of any reason whatsoever, attributable to the Executive, the transfer is not effected five marks will be deducted from the 40 to be allotted by the DPC.
- 8.2.2 Points for performance appraisal ratings will be as per para 6.4 and for grade service will be as per para 7.1.
- 8.2.3 The "Qualifying Points" for "Promotability" will be 75.
8. 3 Promotion From E7 to E7A Grade:
- 8.3.1 The promotion in the above grades will be done based on the merit list drawn by selection committee through consensus, comprising of all the full time functional Directors with MD as Chairman of selection committee.
- 8.4 For promotions up to E7 level, SC/ST candidates shall be given preference as per the Government guidelines issued from time to time.

9.0 CONSTITUTION AND ROLE OF DEPARTMENTAL PROMOTION COMMITTEE (FOR PROMOTION UPTO E7 GRADE) AND SELECTION COMMITTEE (FOR PROMOTION FROM E7 TO E7A GRADE):

9.1 For the purpose of promotion of executive to the next higher grade upto E7 grade, a Departmental Promotion committee (DPC) shall be constituted, with the approval of MD HPPTCL as under:-

- a. For promotion in the executive cadre from E1 to E5 grade :-
 1. Director concerned.
 2. P & A Representative
 3. Another Director/GM of the Corporation
 4. SC/ST representatives.
- b. For promotions in the executive cadre from E5 to E6 and above :-
 1. Managing Director
 2. Concerned Functional Director
 3. Another Director or any other officer nominated by the MD HPPTCL
 3. SC/ST representatives.

The concerned GM or HOD may be invited by DPC for clarifications if any but will not form a part of DPC.

9.1.1 The DPC will be held every year in the month of April. The DPC will consider the suitability or otherwise of the eligible executives for promotion to the next higher grade, on the basis of their qualifications, Appraisal Reports, Grade Service, interview (wherever applicable) and other documents/records available in the personal files which may have a bearing on their being considered for promotions.

9.1.2 The DPC will also interview the eligible executives for promotion from E3 to E4, E4 to E5, E5 to E6 and E6 to E7 grades with a view to ascertain their suitability for the next higher position.

9.1.3 The DPC shall take into consideration the Performance Appraisal Reports including Special Performance Report, if any, for the last 3/4 years. In case, an executive is not promoted in the first / subsequent DPCs the next DPC will consider the best 3/4 Performance Appraisal Report out of the reports for the last 4/5 years.

9.1.4 The points secured by each eligible executive from the Performance Appraisal Reports, Grade Service and points awarded by DPC will be aggregated. Those executives who have been found suitable for promotion will be ranked in order of merit. Where the aggregate of the points is the same, they will be ranked in the order of seniority, as per the following criteria:

- a) Length of service in a grade from the date of joining inclusive of seniority weight age, if any or from the date of promotion in HPPTCL.
- b) Merit position in the selection panel where date of joining is the same or the merit position in the DPC minutes where date of promotion is the same.

- 9.1 For promotion of executives from E7 to E7A grade, selection committee will be formed with the approval of D (P)/MD, as under:
- a) MD as chairman of the committee.
 - b) All other full time functional Directors -Members.
 - c) SC/ST representative (if required).

The selection committee, based on the performance in the interview, will rank the suitable executives in the order of merit by a consensus.

- 9.3 The panel of the selected executives, in the order of merit drawn by the Departmental Promotion Committee/Selection Committee will be submitted to the competent authority for approval. The competent authority shall be the appointing authority of the respective posts/levels.

- 9.4 The promotion orders shall be issued by the Corporate HRM Division after approval of the appointing authority.

10.0 RESERVATION FOR SC/ST:

- 10.1 The directives of the Govt. of India with regard to reservation of posts for SC/ST employees in the matter of promotion, as issued from time to time, will be followed in HPPTCL also.

11. DEBARRING:

- 11.1 An Executive whose Annual Confidential Report/Performance Appraisal for any year during the minimum eligibility period is rated 'Unsatisfactory/Not Satisfactory' will not be considered for promotion to the next higher grade by the DPC.

- 11.2 An Executive who has been awarded minor punishment will be debarred for a period of one year from the effective date of punishment order from consideration for promotion. However, when an enquiry is prolonged for more than two years from the date of issue of charge sheet and such delay is not attributable to the Executive and as a consequence of enquiry leads to award of censure, then in that event the Executive shall not be debarred for promotion for more than two years from the date of his/her eligibility. No Executive who has been awarded three/more minor punishments in the same calendar year or major punishment shall be considered for promotion for the next two years from the effective date of the last punishment order. However Executives will be considered by DPC for promotion immediately on the next standard date of promotion as soon as the period of Currency of punishment is over, subject to completion of eligibility period.

- 11.3 Any Executive who has been on EOL for a period of 30 days or more in a year or 90 days in 3 consecutive years will not be considered for promotion, unless such leave is on medical grounds. Further, impact of EOL (other than on medical grounds) shall be as under:

- a) If EOL during the eligibility period is less than or equal to 30 days, the same will have no effect on the eligibility date for promotion.

- b) If EOL during the eligibility period is more than 30 days and less than or equal to 60 days, the eligibility period will be extended by six months.
- c) If EOL during the eligibility period is more than 60 days and less than or equal to 90 days, the eligibility period will be extended by one year.
- d) If EOL during the eligibility period is more than 90 days and less than or equal to 120 days, the eligibility period will be extended by one year and six months. If the EOL during the eligibility period is more than 120 days, the eligibility period will be extended by two years. The maximum effect of EOL on extension of eligibility period in a grade will be two years.
- e) If EOL is for less than six months in the assessment period, the assessment may be considered as representative of the whole assessment period.

11.4 No Executive under suspension or against whom disciplinary or vigilance proceedings have been instituted 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 of issuance of promotion orders only and no arrears will be payable on this account, unless specifically mentioned otherwise in the promotion order. DPC proceedings shall be kept in sealed cover. In light of the judgment of Hon. Supreme Court in case of Union of India etc. Vs. K.V. Janaki Raman (AIR1991SC2010), the sealed cover procedure be adopted in following circumstances:

- (i) Executive under suspension.
- (ii) Executive in respect of whom a charge sheet has been issued and the disciplinary Proceedings are pending; and
- (iii) Executive in respect of whom prosecution for a criminal charge is pending.

The procedure and guidelines as communicated by Department of Personal & Training vide OM dated 14th September' 1992. be adhered.

11.5 Other conditions for debarring employees from promotions as laid down by the Govt. of India/Company from time to time will be followed.

12.0 GENERAL:

12.1 All clarifications/doubts relating to this policy may be referred to the Corporate HRM Division and the decision of Managing Director HPPTCL shall be final and binding in this regard. Minor modifications/alterations/additions in rules can also be made by Director concerned/MD.

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

13.0 APPEAL:

An executive who is aggrieved by an order of promotion on the ground that he has been superseded may appeal or represent his case to the MD through proper channel. Representations/appeal must be submitted within 45 days of the date of notification of promotion with sufficient evidence and justification. Flimsy appeals may lead to reprimand against the Executive.

NOTE: MD may intervene under following circumstances

1. There is improper interpretation or application of rules.
2. The ACRs have not been recorded in fair manner and there is sufficient ground for proving biased recording.
3. DPC has not given marks in a fair manner and there is a sufficient ground to prove bias.
4. MD under above circumstances in consultation with Director concerned and after recording the reasons in writing may constitute a fresh DPC and refer the case to fresh DPC or order a particular years ACRs to be treated as null and void in which case ACRs for a year preceding the year under consideration will be considered or expunge certain remarks if they can be attributed to a particular superior officer where remarks by the other officers are absolutely different.

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