



Haldia Petrochemicals  
Limited  
Management Staff

**CONDUCT  
DISCIPLINE  
AND  
APPEAL RULES  
2011**

**Confidential**

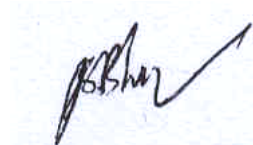
*This is an internal policy document of the Company. It can be amended/ modified/ withdrawn/ suspended at the sole discretion of the management without any notice whatsoever.*

**HALDIA PETROCHEMICALS LIMITED**  
1, Auckland Place  
(Registered Office)  
Kolkata – 700 017

**FOREWORD**

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*The Conduct , Discipline and Appeal Rules, 2011 (CDA) applicable to the Management staff(s) (Work Level – I to Work Level – IV) has become effective w.e.f. 24<sup>th</sup> August, 2011 in Haldia Petrochemicals Limited with the approval of Board of Directors at its Meeting held on 23<sup>rd</sup> August, 2011. For quite sometime now, need has been felt for such Rules. The task was assigned to the Legal and Secretarial Department of HPL, Kolkata. I am happy that the Rules now introduced shall facilitate proper and orderly functioning of the Management Cadre which in turn will enhance the efficiency of Haldia Petrochemicals Limited.*



**Partha S Bhattacharyya**  
**(Managing Director)**

*Place : Kolkata*  
*Date : 23.08.2011*

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## **HALDIA PETROCHEMICALS LIMITED**

### **CONDUCT, DISCIPLINE AND APPEAL RULES FOR MANAGEMENT STAFF , 2011**

	<b><u>CHAPTER – I - GENERAL</u></b>
<b>1.0</b>	<b><u>Short title and commencement</u></b>

	<ul style="list-style-type: none"> <li>These Rules may be called Haldia Petrochemicals Limited Management Staffs' Conduct, Discipline and Appeal (CDA) Rules, 2011. These Rules shall come into force on 24<sup>th</sup> August, 2011.</li> </ul>	
<b>2.0</b>	<p><b><u>Application :</u></b></p> <p>i. These Rules shall apply to all India based Management staff(s) from Work Level – I to Work Level-IV of the Company, <u>except</u> in so far and to the extent it is otherwise agreed upon by agreement or terms and conditions of Letter of Appointment or if there is any other guidelines for the time being in force and applicable to any particular Management staff of the Company.</p> <p>ii. These Rules shall not apply to the following employees:</p> <ul style="list-style-type: none"> <li>those in contractual/ casual / seasonal/ retainer/ muster roll employment or paid from contingency fund.</li> <li>those who are governed or such of them at any future date, by the standing orders certified under the Industrial Employment (Standing Order Act, 1946 and amendments thereof).</li> </ul> <p>iii. The India based Management staff(s) posted abroad will be governed by these Rules along with the other rules, if any, and terms and conditions framed by the Management in this regard.</p>	
<b>3.0</b>	<p><b><u>Definitions:</u></b></p> <p>In these Rules, unless the context otherwise requires-</p>	
(a)	<b><u>Company</u></b>	means Haldia Petrochemicals Limited
(b)	<b><u>Board</u></b>	means the Board of Directors of the Company and includes, in relation to the exercise of powers, any Committee of the Board/ Management or any Management staff of the Company to whom the Board delegates any of its powers for the purposes of these Rules.
(c)	<b><u>Chairman</u></b>	means the Chairman of the Company appointed by the Board of Directors. The Chairman so appointed, shall exercise all the powers of Chairman under the provisions of The Companies Act, 1956 read with the Articles of Association of the Company and the powers or functions delegated by the Board from time to time.
(d)	<b><u>Deputy Chairman</u></b>	means the Deputy Chairman of the Company appointed by the Board of Directors. The Deputy Chairman so appointed, shall exercise all the powers under the Articles of Association of the Company and the powers or functions delegated to him by the Board from time to time.

(e)	<b><u>Vice Chairman</u></b>	means the Vice Chairman of the Company appointed by the Board of Directors. The Vice Chairman so appointed, shall exercise all the powers under the Articles of Association of the Company and the powers or functions delegated to him by the Board from time to time.
(f)	<b><u>Managing Director -</u></b>	means the Managing Director or any other authority to whom the Board vests the powers or functions of the Managing Director or any other Official who holds charge of the administrative functions of the Managing Director for the time being.
(g)	<b><u>Director</u></b>	means Director of the Board of Haldia Petrochemicals Limited for the time being.
(h)	<b><u>Disciplinary Authority</u></b>	means the authority to whom Board vests the power or functions of the Disciplinary Authority or any other official who holds charge of the Administrative functions of the Disciplinary Authority for the time being.
(i)	<b><u>Competent Authority -</u></b>	means the authority as specified in these Rules and failing such specifications means the authority specified by the Board by any general or special Resolution, Rule or Order to discharge the functions or the powers specified in these Rules or any of them. Wherever not specified, the <u>Disciplinary Authority shall be the Competent Authority.</u>
(j)	<b><u>Appellate Authority</u></b>	means the authority with whom appeal will lie against orders passed by the Disciplinary Authority imposing any of the penalties under these Rules.
(k)	<b><u>Reviewing Authority</u></b>	means the Appellate Authority or any authority higher than it.
(l)	<b><u>Management staff -</u></b>	means a person in the employment of the Company from WL-I (SG16 - SG15) to WL-IV (SG 11A-SG 9A) and includes a person on deputation to the Company.
(m)	<b><u>Family -</u></b>	In relation to a Management staff, includes  i) the wife or husband as the case may be of the Management staff , whether residing with her/ him or not , but does not include a wife or husband as the case may be, separated from the Management staff by a decree or order of a competent Court.  ii) sons or daughters of the Management staff and wholly dependent on him/her, but does not include a child who is no longer in any way dependent on the Management staff or of whose custody the Management staff has been deprived by or under any law.
(n)	<b><u>Sexual Harassment -</u></b>	includes unwelcome sexually enacted behaviour (whether directly or by implication) with regard to any other Management staff at the work place such as:  a) physical contact and/or advances; b) a demand or request for sexual favour; sexually coloured remarks; c) showing pornography;

		d) any other unwelcome physical, verbal or non-verbal conduct of sexual nature.
(o)	<b><u>Designated Management staff :</u></b>	<p>If the Company is listed with the Stock Exchange(s), in relation to the Code of internal procedures and conduct for prevention of insider trading in dealing with securities of Haldia Petrochemicals Limited (HPL) in accordance with SEBI (Prohibition of Insider Trading) Regulations, 1992 shall include.</p> <p>i) All Management staff of the Company of the level of WL-I (SG16 - SG15) to WL-IV (SG 11A-SG 9A)</p> <p>ii) Any other Management staff of the Company to be notified by the Compliance Officer, from time to time, with the approval of the Managing Director of the Company.</p> <p>In case any designated Management staff separates from the services of the Company due to superannuation /resignation /termination etc., he/she shall continue to be considered as such for a further period of six months subsequent to the date of his/her separation from the Company as envisaged under SEBI (Prohibition of Insider Trading) Regulations, 1992.</p>
<b>4.0</b>	<b><u>Scope of service:</u></b>	<p>Unless in any case it be otherwise distinctly provided, the whole time of a Management staff shall be at the disposal of the Company and he/she shall serve the Company in its business in such capacity and at such place as he may from time to time, be directed.</p>
<b>5.0</b>	<b><u>Liability to Abide by Rules and Orders:</u></b>	<p>Every Management staff of the Company shall conform to and abide by the Rules of the Company, as may be made applicable to him/her from time to time, and shall observe, comply with and obey the orders and directions given to him/her in the course of his/her official duties by any person or persons under whose jurisdiction, superintendence or control he/she may, for the time being be placed.</p> <p style="text-align: center;">xxxxxx</p> <p style="text-align: center;"><b><u>CHAPTER – II - CONDUCT</u></b></p>
<b>6.0</b>	<b><u>Duties and Obligation of Management staff(s)</u></b>	<p>(1) Every Management staff of the Company shall at all times -</p> <p>i. maintain absolute integrity;</p> <p>ii. maintain devotion to duty; and</p> <p>iii. do nothing which is unbecoming of an officer.</p>

	<p>(2) Every Management staff of the Company holding a supervisory post shall take all possible steps to ensure the integrity and devotion to duty of all employees for the time being under his/her control and authority.</p> <p>(3) Every Management staff shall at all times conduct him/herself soberly and temperately while in the official premises and show proper respect and civility to all concerned and shall use his/her utmost endeavors to promote the interests of the Company and to maintain and promote its good reputation thereof.</p> <p>(4) No Management staff shall, in the performance of his/her official duties or in the exercise of powers conferred on him/her, act otherwise than in his/her best judgement except when he/she is acting under the direction of his/her official superior and shall, where he/she is acting under such direction, obtain the direction in writing wherever practicable, and where it is not practicable to obtain the direction in writing, he/she shall obtain written confirmation of the directions as soon thereafter as possible.</p> <p><i>Explanation :</i></p> <p>Nothing in Rule 6(4) shall be construed as empowering a Management staff to evade his/her responsibilities by seeking instructions from, or approval of a superior Management staff or authority, when such instructions are not necessary under the scheme of distribution of power and responsibility .</p>
<p><b>7.0</b></p>	<p><b><u>Misconduct:</u></b></p> <p>Without prejudice to the generality of the term 'misconduct', the following acts of omission and commission shall be treated as misconduct rendering a Management staff liable for disciplinary action:</p> <ol style="list-style-type: none"> <li>1. Theft, fraud or dishonesty in connection with the business or property of the Company or of property of another person within the premises of the Company.</li> <li>2. Taking or giving bribes or any illegal gratification, or demanding or offering bribes or any illegal gratification.</li> <li>3. Possession of pecuniary resources or property disproportionate to the known sources of income, by the Management staff or on his/her behalf by another person, which the Management staff cannot satisfactorily account for.</li> <li>4. Furnishing false information regarding name, age, father's name, qualification, ability or previous service or any other matter germane to the employment, at the time of employment or during the course of employment.</li> <li>5. Acting in a manner prejudicial to the interests of the Company.</li> <li>6. Wilful insubordination or disobedience, whether or not in combination with other, of any lawful and reasonable order of his/her superior.</li> <li>7. Dereliction of duty.</li> <li>8. Absence without leave or over staying the sanctioned leave.</li> <li>9. Habitual late or irregular attendance.</li> </ol>



10. Neglect of work or negligence in the performance of duty including malingering or slowing down of work.
11. Causing damage to work in progress or to any property of the Company either wilfully or through negligence.
12. Non-observance of safety precautions or rules, or interfering or tampering with any safety devices installed in or about the premises of the Company.
13. Drunkenness or riotous or disorderly or indecent behaviour in the premises of the Company or outside such premises where such behaviour is related to or connected with the employment.
14. Gambling within the premises of the establishment.
15. Smoking within the premises of the establishment, or using naked lights, where it is prohibited.
16. Collection without the permission of the Competent Authority, of any money within the premises of the Company except as sanctioned by any law of the land for the time being in force or Rules of the Company.
17. Sleeping while on duty under any pretext, whatsoever.
18. Sexual harassment
19. Commission of any act which amounts to a criminal offence involving moral turpitude.
20. Absence from the appointed place of work without permission or sufficient cause.
21. Purchasing properties, machinery, stores etc., from or selling properties, machinery, stores, etc., to the Company without informing in writing to the Competent Authority.
22. Engaging in any trade or business without informing the Competent Authority.
23. Canvassing in support of the business or Insurance Agency, Commission Agency etc., owned or managed by his/her spouse or any other member of his/her family without express permission in writing from the Competent Authority.
24. Publication of any article, journal paper or book on any subject prejudicial to the Company or connected with any work of the Company without the prior permission of the Competent Authority .
25. Disclosing to any unauthorised person or persons any information regarding the working or process of the Company, which comes into the possession of the Management staff during the course of his/her work.
26. Spreading false rumors or giving false information which tends to bring into disrepute the Company or its employees or spreading panic among them.
27. Leveling malicious, derogatory or false allegations.
28. Occupying or taking possession in an unauthorised manner or refusal to vacate or

	<p>deliver possession of Company's quarter(s) or any of its premises, owned or hired, when required to do so by the Company.</p> <p>29. Refusal to accept a Memorandum (charge sheet) or order or any other communication from the Management.</p> <p>30. Striking work alone or in combination with other Management staff, or inciting them to strike work in contravention of the provisions of any law or rules having the force of law.</p> <p>31. Commission of any act subversive of discipline or of good behaviour.</p> <p>32. Abetment or attempt at abetment of any act, which causes damage or loss or prejudice, amounts to misconduct.</p> <p>33. Violation of the Code of Internal Procedures and Conduct for prevention of insider trading in dealing with the Securities of HPL by designated Management staff.</p> <p>34. Using official email, internet or other electronic equipments or facilities provided by the Company, otherwise for or not in connection with the business of the Company.</p> <p>35. Obtaining any advance or withdrawal from the Company or any provident or other Fund or Trust administered by the Company or by Trustees appointed in whole or part by the Company by fraudulent means or misrepresentation or false pretences.</p> <p>36. Acting in breach of the requirements of these Rules.</p> <p>37. Any act not stipulated within items of misconduct but comes within the purview of common norm of misconduct.</p> <p><b><u>Note:</u></b></p> <p><b><u>The above instances of misconduct are illustrative in nature, and not exhaustive. Any form of misconduct including the above listed examples will lead to disciplinary action, up to and including dismissal. The nature of the disciplinary action shall depend upon each case and the Company has the sole and absolute discretion to determine appropriate disciplinary action and is not required to impose a series of disciplinary measures before discharging a Management staff . The Company may terminate the employment relationship at any time, depending on the gravity of the offence and/ or degree of misconduct with or without cause or notice and with or without following a formal system of discipline or warnings.</u></b></p>
8.0	<p><b><u>Absence from Duty:</u></b></p> <p>No Management staff shall absent him/herself from duty without having obtained the permission of the authority empowered to grant him/her leave. No Management staff shall leave station where he/she is posted without obtaining previous permission of the authority referred to above.</p> <p>If a Management staff over stays beyond the period of leave originally granted or subsequently extended or is otherwise absent beyond 21 days continuously without prior permission of, or intimation to authority empowered to grant him/her leave, he/she shall be</p>

	<p>treated to have voluntarily abandoned the Company's service and the Competent Authority may pass orders accordingly. A communication relating to such order having been passed by the Competent Authority shall be sent to the Management staff concerned at his/her last known address on record.</p>
<p><b>9.0</b></p>	<p><b><u>Acceptance of Rewards:</u></b></p> <p>(i) <b><u>The Competent Authority for the purpose of these Rules is:</u></b></p> <p>(a) In the case of a Management staff from the rank of Chief General Manager, WL-II (SG14A) to the rank of Engineer/ Officer, WL-IV (SG 9A) is Vice President &amp; Head-Legal and Company/ Dy. Company Secretary (Disciplinary Authority) of the Company.</p> <p>(b) In the case of Management staff in the rank and status of Vice President WL-I (SG 15) and above is the Managing Director of the Company.</p> <p>(c) Any other authority duly authorized and competent under these Rules.</p> <p>(ii) Except in the following cases, a Management staff of the Company shall without the prior approval of the Competent Authority not accept a reward from any source:</p> <p>(a) the premium awarded for any essay or plan in Public competition .</p> <p>(b) any reward offered for the arrest of a criminal or for information or special service in connection with the administration of justice .</p> <p>(c) any reward payable in accordance with the provisions of any Act or Regulation or Rules framed thereunder.</p> <p>(d) any reward sanctioned for services in connection with the administration of the Customs and Excise Laws; and</p> <p>(e) any fee payable to a Management staff for duties which he/ she is required to perform in his/her official capacity under any special or local law by order of Government .</p>
<p>9A</p>	<p><b><u>Patent for Inventions made :</u></b></p> <p>(a). Every Management staff shall , within one month of taking up his/her employment furnish the Company with :</p> <p>i. a list of all patents held by him/her or applied for in India or abroad whether in his/her own name or jointly with another person (s);</p> <p>ii. Titles and nature of any inventions in his/her possession prior to his/her taking up the appointment.</p> <p>Intellectual property rights in all improvements, inventions made and/or processed or discovered or worked upon by a Management staff during the period of his/her service with the Company shall belong to and vest exclusively in the Company, and the Company shall have the exclusive right to use, apply or deal with the same.</p>

	<p>No Management staff of the Company shall, except with the previous sanction of the Managing Director concerned, disclose to any other person or permit use in any manner by any other person or apply for or cause to permit any other person to apply for or to obtain in India or abroad any patent, patent of additions, licence, rights, privilege, or the like protection in respect of any improvement, invention or process, under any Act, Statute, Statutory Orders, Regulations or otherwise in respect of any improvement, invention or process, the intellectual property in respect of which vests in or otherwise belongs to the Company .</p> <p>If such improvement, invention or process has been made, discovered or obtained by the Management staff during the period of his/her service with the Company , he/ she shall upon request of the Managing Director or his/her nominee forthwith disclose full and complete description of the said improvement, invention or process and the mode of performing the same and shall absolutely assign and transfer in favour of the Company , at its cost, the intellectual property rights in such improvement, invention or process (whether patented or not) for a consideration of Re. 1/-. In the event of such a request being made by the Competent Authority, the Management staff shall sign all applications, deeds , instruments , assurances , documents , papers, conveyances, etc. as the said Authority may in his/her opinion require for the vesting of the rights under and by virtue of these provisions wholly and absolutely in the Company .</p> <p>(b) All inventions including improvements or modifications thereon or process made or discovered by the Management staff during or in relation to the period of his/her services with the Company shall be absolute property of the Company and he/ she shall hold the same in trust for it. The Company may recognise the inventor/inventors in that their name/names will be mentioned in the patent. The Company shall not however, be obliged to pay any fee, royalty or any other consideration for the use of any such inventions or processes.</p> <p>(c) Save as otherwise provided in these Rules, no Management staff shall assign, grant any licence, or create any charge or interest in favour of any person to make use of or otherwise deal with any such invention or process (whether patented or not) he/she has made, discovered or obtained during the period of his/her service with the Company.</p> <p>(d). No employee, whether during or after a period of his/her service with the Company , shall, except for the purpose of the business of the Company and with the previous sanction of the Competent Authority, publish or cause to be published, disclose or otherwise make known in any manner, whatever, such inventions or processes.</p> <p style="text-align: center;"><b>Note: the word 'invention ' occurring in these rules shall have the meaning assigned to it under the “Patents Act, 1970”.</b></p>
10.0	<p><b><u>Employment of near relatives of the employees of the Company in any Company or Firm enjoying patronage of the Company ;</u></b></p> <p>i). a) No Management staff shall use his/her position or influence directly or indirectly to secure employment for any person related, whether by blood or marriage, to the Management staff or to the employee's wife or husband, whether such a person is dependent on the Management staff or not.</p> <p>b) No Management staff shall, except with previous sanction of the Competent Authority, permit his/her son, daughter or any member of the family to accept employment with any company or firm, with which he has official dealing or with any other firm having</p>

	<p>official dealings with the Company .</p> <p>Provided that where the acceptance of the employment cannot await the prior permission of the Competent Authority, the employment may be accepted provisionally subject to the permission of the Competent Authority to whom the matter shall be reported forthwith.</p> <p>ii) The Competent Authority for the purpose of this Rule is:</p> <p><b><u>Please see Clause 9(i)</u></b></p> <p>iii). No Management staff shall in the discharge of his/her official duties deal with any matter or give or sanction any contract to a company or firm or any other person if any, member of his/her family is employed in that company or firm or under that person or if he/she or any member of his/her family is interested in such matter or contract or in any other matter and the Management staff shall refer every such matter or contract to his/her official superior and the matter or the contract shall thereafter be disposed of according to the instruction of the authority to whom the reference is made.</p>
11.0	<p><b><u>(A) Taking part in politics and elections:</u></b></p> <p>Without the prior approval in writing of the Managing Director –</p> <ol style="list-style-type: none"> <li>1. No Management staff shall be an office-bearer of a political party or an organisation which takes part in politics.</li> <li>2. No Management staff shall take part in or assist in any manner in any movement / agitation or demonstration of a political nature.</li> <li>3. No Management staff shall contest in an election to any legislature or local authority or otherwise take part in such election as for example by preparing/ seconding the nomination of a candidate at such election involving position of profit or acting as a polling agent:</li> </ol> <p>Provided that:-</p> <ol style="list-style-type: none"> <li>i) A Management staff qualified to vote at such election may exercise his/her right to vote, but where he/she does so, he/she shall give no indication of the manner in which he/she proposes to vote or has voted;</li> <li>ii) A Management staff shall not be deemed to have contravened the provisions of this sub-rule by reason only that he assists in the conduct of an election in the due performance of a duty imposed on him/her by or under any law for the time being in force.</li> </ol> <ol style="list-style-type: none"> <li>4. No Management staff shall canvass in, or use his/her influence in connection with, any election to any legislature or local Authority.</li> </ol> <p><i>Explanation:</i> The display by a Management staff on his/her person, vehicle or residence of any electoral symbol shall amount to using his/her influence in connection with an election within the meaning of this sub-rule.</p> <p><b><u>B. Taking part in demonstrations:</u></b></p> <p>No Management staff of the Company shall engage him/herself or participate in any</p>

	demonstration which involves incitement to an offence.
<b>12.0</b>	<p><b><u>Connection with Press, Radio or Television:</u></b></p> <p>i) No Management staff of the Company shall, except with the previous sanction of the Competent Authority, own wholly or in part, or conduct or participate in the editing or management of any newspaper or other periodical or publication.</p> <p>ii) No Management staff of the Company shall, except with the previous sanction of the Competent Authority, or in the bonafide discharge of his/her duties, participate in a radio or TV broadcast or contribute any article or write any letter in his/her own name or anonymously, pseudonymously or in the name of any other person to any newspaper or periodical purporting to express any views on behalf of the Company or disclosing any information relating to the Company or its affairs.</p> <p>iii) The Competent Authority for the purpose of this Rule is:</p> <p><b><u>Please see clause no. 9(i)</u></b></p>
<b>13.0</b>	<p><b><u>Criticism of the Company or any of its Directors or Officers in Senior Management:</u></b></p> <p>No Management staff shall, in any radio/TV broadcast or in any document or letter or circular published under his/her name singly or jointly with another or others or in the name of any other person(s) or in any communication to the press or other media, or in any public utterance, make any statement:</p> <p>a) which criticises any policy or action of the Company or any of its Directors or Senior Management staff(s); or</p> <p>b) which is capable of embarrassing the relations between the Company and the public or the Management of the Company and its Management staff(s).</p> <p>Provided that nothing in this Rule shall apply to any statement made or views expressed by a Management staff, of a purely factual nature which are not considered to be of a confidential nature, in his/her official capacity as a Management staff of the Company or in due performance of the duties assigned to him/her as a Management staff of the Company.</p>
<b>14.0</b>	<p><b><u>Evidence before Committee or any other Authority:</u></b></p> <p>1) Save as provided in sub-rule (3), no Management staff of the Company shall, except with the previous sanction of the competent authority, give evidence in connection with any enquiry conducted by any person, Committee or Authority.</p> <p>2) Where any sanction has been accorded under sub-rule (1), no Management staff giving such evidence shall criticise the policy or any action of the Company.</p> <p>3) Nothing in this Rule shall apply to :-</p> <p>a) evidence given in any judicial inquiry ; or</p> <p>b) evidence given at any departmental inquiry ordered by authorities.</p>
<b>15.0</b>	<p><b><u>Unauthorised communication of Information:</u></b></p> <p>No Management staff shall, except in accordance with any general or special order of the</p>

	<p>Competent Authority or in the performance in good faith of the duties assigned to him/her, communicate, directly or indirectly, any official document or any part thereof or information to any employee, or any other person to whom he/she is not authorised to communicate such document or information.</p>
<p><b>16.0</b></p>	<p><b><u>Gifts:</u></b></p> <p>i) Save as otherwise provided in these Rules, no Management staff of the Company shall accept or permit any member of his/her family or any other person acting on his/her behalf, to accept any gift.</p> <p><i>Explanation :</i> The expression 'gift' shall include free transport, boarding, lodging or other service or any other pecuniary advantage when provided by any person other than a near relative or a personal friend having no official dealing with the employee.</p> <p><b><u>Note:</u> A Management staff of the Company shall avoid acceptance of lavish or frequent hospitality from any individual or firm having official dealings with him/her.</b></p> <p>ii) On occasions such as weddings, anniversaries, funerals or religious functions, when the making of gifts(s) is in conformity with the prevailing religious or social practices, a Management staff of the Company may accept gift(s) from his/her near relative(s) and personal friend(s) having no official dealings with him/her, but shall make a report to the Competent Authority if the value of the gift(s) exceeds Rs. 50,000/-.</p> <p>iii) In any other case, a Management staff of the Company shall not accept or permit any member of his/her family or any other person acting on his/her behalf to accept any gift without the sanction of the Competent Authority if the value of the gift exceeds Rs. 50,000/-</p> <p>Provided that when more than one gift has been received from the same person within a period of 12 months, the matter shall be reported to the Competent Authority if the aggregate value of the gifts exceeds Rs. 50,000/-.</p>
<p><b>17.0</b></p>	<p><b><u>Private Trade or Employment:</u></b></p> <p>(i) No Management staff shall, except with the previous sanction of the Competent Authority, engage directly or indirectly in any trade or business or undertake any other employment.</p> <p>Provided that a Management staff, may without such sanction, undertake honorary work of a social or charitable nature or occasional work of a literary, artistic or scientific character, subject to the conditions that his/her official duties do not thereby suffer; but he/she shall not undertake or shall discontinue, such work if so directed by the Competent Authority.</p> <p>(ii) Every Management staff shall report to the Competent Authority if any member of his/her family is engaged in a trade or business or owns or manages an insurance agency or commission agency.</p> <p>(iii) No Management staff shall without the previous sanction of the Competent Authority except in the discharge of his/her official duties, take part in the registration, promotion or management of any bank or other company which is required to be registered under the Companies Act 1956 (1 of 1956) or other law for the time being in force or any Co-operative Society for commercial purposes:</p>

	<p>Provided that a Management staff may take part in the registration, promotion or management of Consumer/House Building Co-operative Society substantially for the benefit of employees of the Company, registered under the Co-operative Societies Act 1912(2 of 1912) or any other law for the time being in force or of a literary, scientific or charitable society registered under the Societies Registration Act 1960 (21 of 1960) or any corresponding law in force.</p> <p>(iv) No Management staff shall accept any fee or any pecuniary advantage for any work done by him/her for any public body or any private person without the sanction of the Competent Authority.</p> <p>The Competent Authority for the purpose of this Rule is:</p> <p><b><i>Please see clause no. 9(i)</i></b></p>
18.0	<p><b><u>Investment, Lending and Borrowing:</u></b></p> <p>No Management staff shall, save in the ordinary course of business with a bank, the Life Insurance Company or a firm of standing, borrow money from or lend money to or otherwise place him/herself under pecuniary obligation to any person with whom he/she has or is likely to have official dealings or permit any such borrowing, lending or pecuniary obligation in his/her name or for his/her benefit or for the benefit of any member of his/her family.</p>
19.0	<p><b><u>Other Influence:</u></b></p> <p>No Management staff shall bring or attempt to bring any outside influence to bear upon any superior authority to further his/her interests in respect of matters pertaining to his/her service in the Company.</p>
20.0	<p><b><u>Marriages:</u></b></p> <ul style="list-style-type: none"> <li>i) No Management staff shall enter into, or contract a marriage with a person having a spouse; and</li> <li>ii) No Management staff, who has married or marries a person other than that of Indian nationality, shall forthwith intimate the facts to the Competent Authority.</li> </ul> <p style="text-align: center;">*****</p>
	<p><b><u>CHAPTER – III – SUSPENSION</u></b></p>
21.0	<p><b><u>Suspension:</u></b></p> <ul style="list-style-type: none"> <li>i) The Disciplinary Authority or any other authority of equivalent or upper rank empowered in that behalf by appropriate/ competent authority by general or special order may place a Management staff under suspension which takes effect immediately that - <ul style="list-style-type: none"> <li>a) where a disciplinary proceeding against him/her is contemplated or is pending; or</li> </ul> </li> </ul>



	<p>(b) where a case against him/her in respect of any criminal offence is under trial .</p> <p>ii) A Management staff who is detained in police custody, whether on a criminal charge or otherwise, for a period exceeding 48 hours shall be deemed to have been suspended with effect from the date of detention , by an order of the Disciplinary Authority, and shall remain under suspension until further orders. Where a Management staff, in case of any act is released on bail, the question of allowing such Management staff to join duty would depend upon totality of facts and circumstances especially in respect of any act not connected with employment.</p> <p>iii) Where a penalty of dismissal or removal from service imposed upon a Management staff under suspension is set aside on appeal or on review under these Rules and the case is remitted for further inquiry or action or with any other directions, the order of his/her suspension shall be deemed to have continued in force on and from the date of the original order of dismissal or removal and shall remain in force until further order(s).</p> <p>iv) Where a penalty of dismissal or removal from service imposed upon a Management staff is set aside or declared or rendered void in consequences of or by a decision of a court of law and the Disciplinary Authority, on consideration of the circumstances of the case , decides to hold a further enquiry against him/her on the allegation on which the penalty of dismissal or removal was originally imposed, the Management staff shall be deemed to have been placed under suspension by the Disciplinary Authority from the date of the original order of dismissal or removal and shall continue to remain under suspension until further order(s).</p> <p>v) An order of suspension made or deemed to have been made under this Rule may at any time be reviewed and/or revoked by the authority which made or is deemed to have been made the order or by any authority to which that authority is subordinate.</p> <p>vi). The suspended Management staff shall not leave the station unless otherwise specifically instructed or permitted.</p>
<p><b>22.0</b></p>	<p><b><u>Subsistence Allowance:</u></b></p> <p>a) A Management staff under suspension shall be entitled to draw subsistence allowance equal to 50 percent of his/her basic pay provided the Disciplinary Authority is satisfied that the Management staff is not engaged in any other employment or business or profession or vocation. In addition he/she shall be entitled to Dearness Allowance and any other compensatory allowance of which he/she was in receipt of on the date of suspension, as admissible on such subsistence allowance. However, payment of any other compensatory allowance can be authorised up to the full rate at which he/she was in receipt of on the date of suspension, subject to the approval of the suspending authority after satisfying that the Management staff continues to meet the expenditure for which the allowance was granted.</p> <p>b) Where the period of suspension exceeds six months, the authority which made or is deemed to have made the order of suspension shall be competent to vary the amount of subsistence allowance for any period subsequent to the period of the first six months as follows:-</p> <p>(i) The amount of subsistence allowance may be increased to 75% of basic pay and allowances thereon, if in the opinion of the said authority the period of suspension has been prolonged for reasons to be recorded in writing not directly attributable to the Management staff under suspension;</p>

	<p>(ii) The amount of subsistence allowance may be reduced to 25% of basic pay and allowance thereon if in the opinion of the said authority the period of suspension has been prolonged due to the reasons to be recorded in writing, directly attributable to the Management staff under suspension.</p> <p>c) If a Management staff is arrested by the police on a criminal charge and bail is not granted, no subsistence allowance is payable. On grant of bail, if the competent authority decides to continue the suspension, the Management staff shall be entitled to subsistence allowance from the date he/she is granted bail.</p>
23.0	<p><b><u>Treatment of the Period of Suspension:</u></b></p> <p>1) When the Management staff under suspension is reinstated, the competent authority may grant to him/her the following pay and allowances for the period of suspension:-</p> <p>(a) If the Management staff is exonerated and not awarded any of the penalties, the full pay and allowances which he/she would have been entitled to if he/she had not been suspended, less the subsistence allowance already paid to him/her; and</p> <p>(b) If otherwise, such proportion of pay and allowances as the competent authority may prescribe.</p> <p>2) In a case falling under sub-clause (a) the period of absence from duty will be treated as a period spent on duty. In a case falling under sub-clause (b) it will not be treated as a period spent on duty unless the competent authority so directs.</p> <p style="text-align: center;">*****</p>
	<p><b><u>CHAPTER – IV- DISCIPLINE</u></b></p>
24.0	<p><b><u>Penalties.</u></b></p> <p>One or more of the following penalties may be imposed on a Management staff for, misconduct committed by him/her, and different penalties may be imposed for different acts or omissions of misconduct, whether covered by one or different Charge Sheets.</p> <p><b>Minor penalties</b></p>

- a) Censure
- b) Fine up to Rs 50,000/-
- c) Withholding of increments of pay without cumulative effect
- d) Withholding of promotion for a specified term up to 1 (one) year
- e) Reduction of pay up to 3 (three) lower stages in time scale for one year without cumulative effect

**Major penalties**

- f) Withholding of increments of pay with cumulative effect
- g) Reduction to a lower stage(s) in time scale with cumulative effect
- h) Recovery from pay or such other amount as may be due to him/her of the whole or part of any pecuniary loss caused to the Company by negligence or breach of orders or the acts of omission and commission
- i) Reduction to a lower grade
- j) Compulsory retirement
- k) Removal from service
- l) Dismissal

**Explanation:**

The following shall not amount to a penalty within the meaning of these Rules:-

- a) A warning, oral or in writing.
- b) Withholding of increment of a Management staff , in accordance with the specific terms of contract for unsatisfactory work during the year;
- c) Non-promotion, whether in an officiating capacity or otherwise, of a Management staff , to a higher post for which he/she may be eligible for consideration but for which he/ she is not found suitable or not selected after consideration of his/her case;
- d) Reversion to a lower grade or post, of a Management staff officiating in a higher grade or post on the expiry of the term, or on the ground that he is considered, after trial, to be unsuitable for such higher grade or post, or on administrative grounds unconnected with his/her conduct;
- e) Reversion to his/her previous grade or post, of a Management staff appointed on probation to another grade or post, during or at the end of the period of probation, including any extension(s) thereof.

(f) **Termination of Service**

- i) of a Management staff appointed on probation, during or at the end of the period of probation including any extension(s) thereof, in accordance with the terms of his/her appointment;
- ii) of a Management staff appointed in a temporary capacity otherwise than under a contract or agreement, on the expiration of the period for which he was appointed, or earlier in accordance with the terms of his/her appointment;
- iii) of a Management staff appointed under a contract or agreement, on expiry of the tenure of his/her contract or earlier in accordance with the terms of such contract or

	<p>agreement; and</p> <p>iv) of a Management staff on retrenchment;</p> <p>v) of a Management staff prematurely retired under Rule 33.</p>
<p><b>25.0</b></p>	<p><b><u>Disciplinary Authority:</u></b></p> <p>For the purpose of Rule 24, Disciplinary Authority will be the competent authority referred to in Rule 9(i). Such Disciplinary Authority or any authority higher than it may impose any of the penalties in Rule 24 on any Management Staff.</p>
<p><b>26.0</b></p>	<p><b><u>Procedure for Imposing Major Penalties:</u></b></p> <p>i) No order imposing any of the major penalties specified in Rule 24 shall be made except after an inquiry is held in accordance with this Rule.</p> <p>ii) Wherever the Disciplinary Authority is of the opinion that there are grounds for inquiry into the truth of any imputation of misconduct or misbehaviour against a Management staff, may itself inquire into, or appoint any serving or retired Management staff of the Company or any serving or retired public servant or other person (hereinafter called the Inquiring Authority) which expression shall include any substitute(s), appointed by the Disciplinary Authority in lieu of an originally appointed Inquiring Authority or a substitute to inquire into the truth thereof.</p> <p>iii) Where it is proposed to initiate disciplinary proceedings, the Disciplinary Authority shall frame definite charges on the basis of the allegations, against the Management staff. The charges, together with a statement of the allegations, on which these are based, a list of documents by which and a list of witnesses by whom, the articles of charge are proposed to be sustained, shall be communicated in writing to the Management staff, who shall be required to submit within such time as may be specified by the Disciplinary Authority, a written statement whether he/she admits or denies any of or all of the Articles of charge.</p> <p>iv) On receipt of the written statement of the Management staff, or if no such statement is received within the time specified, an inquiry may be held by the Disciplinary Authority itself, or by an Inquiring Authority so appointed by the Disciplinary Authority under sub-clause(ii). Provided that it may not be necessary to hold an inquiry in respect of the charges admitted by the Management staff in his/her written statement, the Disciplinary Authority shall, however, record the admission(s) and its consequent findings on each such charge, and may proceed to impose penalty on the basis of such admission(s) with or without proceedings to hold an inquiry into the charges not admitted.</p> <p>v) Where the Disciplinary Authority itself inquires or appoints an Inquiring Authority for holding an inquiry, it may, by an order, appoint a person to be known as the 'Presenting Officer' to present on its behalf the case in support of the charges.</p> <p>vi) The Management staff may take the assistance of another Management staff of the Company and/or a legal practitioner, in case where the Presenting Officer is a legal practitioner by profession.</p>

vii) On the date fixed by the Inquiring Authority, the Management staff shall appear before the Inquiring Authority at the time and place specified in the notice. The Inquiring Authority shall ask the Management staff whether he/she pleads guilty or has any defence to make and if he/she pleads guilty to any of the charges, the Inquiring Authority shall record the plea, sign the record and ask the Management staff concerned to also sign thereon. The Inquiring Authority shall, return a finding of guilt in respect of those charges to which the Management staff concerned pleads guilty.

viii) If the Management staff does not plead guilty, the Inquiring Authority shall proceed with the case and direct the Presenting Officer to lead his/her evidence. In case the charged officer makes a request for inspection of relevant documents and /or production of witnesses, the Inquiring Authority will consider the request and take appropriate action. The relevance of the document and the witnesses will have to be given by the Management staff concerned and the documents and/or the witness (es) shall be summoned if the Inquiring Authority is satisfied about their relevance to the charge under inquiry.

ix) The Inquiring Authority shall ask the authority in whose custody or possession the documents are kept, for the production of the documents on such date as may be specified.

x) The authority in whose custody or possession the requisitioned documents are, shall arrange to produce the same before the Inquiring Authority on the date, place and time specified in the requisitioned notice.

Provided that the authority having the custody or possession of the requisitioned documents may claim privilege if the production of such documents will be against security or the interest of the Company or are subject to an obligation of confidentiality. In that event, it shall inform the Inquiring Authority accordingly. The Inquiring Authority shall determine the claim of privilege, and if satisfied that the claim is justified in whole or part, shall either uphold the claim or direct the document(s) to be produced subject to such deletions as he/she considers necessary to protect the privilege, provided that the Inquiring Authority shall not direct the production of any document which is subject to an obligation of confidentiality on the part of the Company.

(xi) During the course of the inquiry, the oral and documentary evidence by which the charges are proposed to be proved shall be produced by or on behalf of the Disciplinary Authority. The witnesses shall be examined by or on behalf of the Presenting Officer and may be cross examined by or on behalf of the employee. The Presenting Officer shall be entitled to re-examine the witnesses on any points on which they have been cross-examined, but not on a new matter, without the leave of the Inquiring Authority. The Inquiring Authority may also put such questions to the witnesses as it thinks fit.

(xii) The Inquiring Authority may, in its discretion, at any stage allow the Presenting Officer or Management staff to produce evidence not included in the charge-sheet or may itself call for new evidence or recall or re-examine any witness. In such case the Management staff or the Presenting Officer as the case may be, shall be given opportunity to inspect the documentary evidence and to cross-examine a witness, who has been so summoned, and to present any additional evidence which he/she may wish to produce as a result.

(xiii) When the case for the Disciplinary Authority is closed, the charged Management staff

shall be asked to present his/her defence and produce evidence.

- (xiv) The Management staff may examine him/ herself in his/her own behalf if he/she so prefers. The witnesses produced by the Management staff shall then be examined and shall be liable to cross-examination and re-examination according to the provisions applicable to the witnesses for the Disciplinary Authority. The Inquiring Authority may also put such questions to the witnesses as it thinks fit.
- (xv) The Inquiring Authority may, after the Management staff closes his/her case, and shall, if the Management staff has not examined him/herself, generally question him/her on the circumstances appearing against him/her in the evidence for the purpose of enabling the Management staff to explain any circumstance appearing in the evidence against him/her.
- (xvi) After the completion of the production of the evidence the Management staff and the Presenting Officer may file written briefs of their respective cases, within 15 days of the date of completion of the production of evidence. The Presenting Officer will file his brief first, giving a copy of the brief to the charged officer simultaneously. The charged officer will file his/her written brief thereafter with no copy to the Presenting Officer.
- (xvii) If the Management staff does not submit the written statement of defence referred to in sub-rule (iii) on or before the date specified for the purpose or does not appear in person or through the assisting Management staff or otherwise fails or refuses to comply with any of the provisions of these Rules, the Inquiring Authority may hold or continue the inquiry ex-parte. Where the proceedings are held or continued ex-parte, the Inquiring Authority shall send a copy of his/her order directing ex-parte proceedings or continuance, as the case may be, to the Management staff at his/her last known address, and shall not thereafter be required to communicate to the Management staff any record of further proceedings. The Management staff may, if he/she so deems fit, rejoin the proceedings before the Inquiring Authority at any stage, before the conclusion of the inquiry without any right to re-open the proceedings or any of them conducted ex-parte unless he/she can satisfy the Inquiring Authority that he/she was prevented from attending such proceeding(s) for sufficient cause.
- (xviii) Whenever any Inquiring Authority, after having heard and recorded the whole or any part of the evidence in an inquiry ceases to exercise jurisdiction therein and is succeeded by another Inquiring Authority which has, and exercises, such jurisdiction, the Inquiring Authority so succeeding may act on the evidence so recorded by its predecessor or partly recorded by its predecessor and partly recorded by itself. Provided that if the succeeding Inquiring Authority is of the opinion that further examination of any of the witnesses whose evidence has already been recorded is necessary in the interest of justice, it may recall, examine, cross-examine and re-examine any such witnesses as herein before provided.
- (xix) (a) After the conclusion of the Inquiry, a report shall be prepared by the Inquiring Authority and it shall contain-
- i) An introductory paragraph in which references to the orders of appointment of Inquiring Authority and Presenting Officer and engagement of Defence Assistant will be made;
  - ii) Brief account of hearings, marking of exhibits, recording of evidence;
  - iii) Reproduction of articles of charge(s);

	<ul style="list-style-type: none"> <li>iv) Indication about charges which are dropped, or admitted, or have been inquired into;</li> <li>v) Brief statement of the case of the Disciplinary Authority in respect of the charges inquired into;</li> <li>vi) Brief statement of the case of the Charged Officer;</li> <li>vii) For each charge inquired into – <ul style="list-style-type: none"> <li>a) a gist of the charges</li> <li>b) the case in support of the charge;</li> <li>c) the case of defence;</li> <li>d) assessment of evidence; and</li> <li>e) the findings.</li> </ul> </li> <li>viii) A brief summary of the findings with the reason based on evidence on record.</li> </ul> <p><i>Explanation:</i></p> <p>If in the opinion of the Inquiring Authority the proceedings of the inquiry establish any charge different from the original charge with regard to the transaction(s) or event(s) or acts or omissions or series of transactions or events or acts or omissions which form the subject matter of the charge(s), whether in addition to or in lieu of the original charge(s), it may record its findings on such charge;</p> <p>Provided that the findings on such charge shall not be recorded unless the Management staff has either admitted the fact on which such charge is based or the essentials of the evidence, if any, on which such charge is based have been duly recorded by the Inquiring Authority and the Management staff has had a reasonable opportunity of defending him/herself against such charge. To this end, if the Inquiring Authority is of opinion that the evidence indicates such charge, he/she shall frame such charge and communicate the charge to the Management staff and give the Presenting Officer an opportunity to produce any further evidence he/she can produce in support of the charge and give the Management staff an opportunity to defend such charge in the same manner as the charge(s) in the original charge sheet and the procedures with respect thereto shall mutatis mutandis apply.</p> <p>(b) The Inquiring Authority, where it is not itself the Disciplinary Authority, shall forward to the Disciplinary Authority the records of inquiry which shall include-</p> <ul style="list-style-type: none"> <li>i) the report of the inquiry prepared by it under sub-rule (xix(a) above;</li> <li>ii) the oral and documentary evidence produced in the course of the inquiry;</li> <li>iii) written briefs referred to in sub-rule (xvi), if any, and</li> <li>iv) the orders, if any, made by the Disciplinary Authority and the Inquiring Authority in regard to the inquiry.</li> </ul>
27.0	<p><b><u>Action on the Inquiry Report:</u></b></p> <ul style="list-style-type: none"> <li>a) The Disciplinary Authority, if it is not itself the Inquiring Authority, may for reasons to be recorded by it in writing remit the case to the Inquiring Authority for fresh or further inquiry and report and the Inquiring Authority shall thereupon proceed to hold the further inquiry according to the provisions of Rule 26 as far as may be.</li> <li>b) Before the Disciplinary Authority arrives at its own conclusions with regard to the guilt or innocence of the Management staff with regard to the charge/charges levelled against him/her after taking into consideration the inquiry report, the Disciplinary Authority, shall provided it agrees with the findings of the Inquiring Authority, furnish a copy of the Inquiring Authority's report to the Management staff to enable him/her make his/her</li> </ul>

	<p>representation against the findings in the report within 10 days of the receipt of the inquiry report, if he/she so desires."</p> <p>c) The Disciplinary Authority shall, if it disagrees with the findings of the Inquiring Authority on any charge, record its reasons for such disagreement. Before arriving at its own conclusion with regard to the guilt or innocence of the Management staff with regard to such charge, the Disciplinary Authority shall furnish to the Management staff his/her reasons for such disagreement together with a copy of the Inquiring Authority's report with reference to Rule 26. The Disciplinary Authority shall record its own findings with regard to such charge(s) after taking into account the representation, if any, made by the employee.</p> <p>d) If the Disciplinary Authority having regard to its findings on all or any of the charges is of the opinion that any of the penalties specified in Rule 24 should be imposed on the employee, it shall, notwithstanding anything contained in Rule 28, make an order imposing such penalty taking into account the gravity of misconduct committed.</p> <p>e) If the Disciplinary Authority, having regard to its findings on all or any of the charges, is of the opinion that no penalty is called for, it may pass an order exonerating the Management staff concerned.</p> <p>f) In case of denovo inquiry, the earlier proceedings including the charge sheet issued earlier, stand quashed. In view thereof, the question of initiating a fresh inquiry without giving a fresh charge sheet would therefore, not arise. In other words, to initiate a denovo inquiry, a fresh charge sheet has to be issued.</p>
28.0	<p><b><u>Procedure for Imposing Minor Penalties:</u></b></p> <p>a) Where it is proposed to impose any of the minor penalties specified in Rule 24, the Management staff concerned shall be given a charge-sheet stating the alleged charges against him/her and given an opportunity to submit his/her written statement of defence within a specified period. The defence statement, if any, submitted by the Management staff shall be taken into consideration by the Disciplinary Authority before passing orders. Provided that in a case in which the disciplinary authority is of the opinion that an inquiry in the manner laid down under Rule 26 is necessary, such inquiry may be held purely on Disciplinary Authority's discretion.</p> <p>(b) The record of the proceedings shall include-</p> <ol style="list-style-type: none"> <li>i) a copy of the charge-sheet stating the alleged charges delivered to the employee.</li> <li>ii) the evidence produced during the inquiry, if held; and</li> <li>iii) the orders of the Disciplinary Authority together with the reasons there for.</li> </ol>
29.0	<p><b><u>Common Proceedings:</u></b></p> <p>a) Where two or more Management staff(s) are concerned in a case, the Disciplinary Authority, or an authority higher than it, who is competent to impose a penalty on such employees may make an order directing that disciplinary proceedings against all of them may be taken in a common proceedings and a specified authority may function as the Disciplinary Authority for the purpose of such common proceedings.</p> <p>b) Where it has been decided to hold an inquiry into charge(s) framed against two or more Management staff(s) involved in the same or series of transactions, events, acts or omissions, the concerned Disciplinary Authority may direct that the inquiry into the charges against all the said Management staff(s) shall be held by the same Inquiring</p>



	<p>Authority, and that the evidence recorded in the inquiry shall be read as evidence for the charge(s) framed against each Management staff concerned.</p> <p>c) On conclusion of the inquiry, the Inquiring Authority shall make separate Report in respect of the charges framed of the Management staff concerned, and the provisions of Rule 26(xix), 27 and 28 shall thereafter mutatis mutandis apply with respect to each such Management staff.</p>
<p><b>30.0</b></p>	<p><b><u>Special Procedure in Certain Cases:</u></b></p> <p>Notwithstanding anything contained in Rule 26 or 27 or 28 the Disciplinary Authority may impose any of the penalties specified in Rule 24 in any of the following circumstances, provided, however, that :-</p> <p>i) the Management staff has been convicted on a criminal charge, or on the strength of facts or conclusion arrived at by a judicial trial or by serving a copy of the order of conviction asking him to give an explanation or for the purpose of this Rule , a disciplinary proceedings shall commence only when a charge sheet is issued to the charged officer ;</p> <p>ii) where the Managing Director is satisfied for the reasons to be recorded in writing that in the overall interest or the security of the Company , it is not expedient to hold any inquiry in the manner provided in these Rules.</p>
<p><b>31.0</b></p>	<p><b><u>Special Procedure in respect of Retiring Employees:</u></b></p> <p>(i) a) Notwithstanding that a Management staff is entitled to and has retired or superannuated from the service of the Company , if disciplinary proceedings have been initiated while the Management staff was in service, the disciplinary proceedings shall continue and be concluded in the same manner as if the Management staff had continued in service.</p> <p>(b) For the purposes of this Rule, a disciplinary proceeding shall be deemed to have been commenced as soon as a decision is taken by the Disciplinary Authority to commence disciplinary proceedings against the employee, even if a charge sheet pursuant to the said decision has not been or could not be served upon the Management staff prior to the date of his/her presumptive retirement or superannuation, as the case may be.</p> <p>(c) Once such disciplinary proceedings have been commenced, it will be open to the Disciplinary Authority, at any time before the conclusion of the disciplinary proceedings, to add to any charge(s) by issue of a supplementary charge sheet, if necessary. The same procedure shall be followed with respect to the supplementary charges as is applicable with respect to the original charge(s) for which the disciplinary proceedings commenced.</p> <p>(d) The penalty(ies) imposed on the Management staff as a result of such proceedings shall be deemed to have taken effect immediately prior to the Management staff 's presumptive retirement or superannuation, as the case may be.</p>

	<p>(iii) During the pendency of the disciplinary proceeding, the Disciplinary Authority may withhold payment of gratuity, for ordering the recovery from gratuity of the whole or part of any pecuniary loss caused to the Company if the Management staff is found in the disciplinary proceedings or judicial proceedings to have been guilty of offences/ misconduct in terms of sub-section (6) of section 4 of the Payment of Gratuity Act,1972 or to have caused pecuniary loss to the Company by misconduct or negligence, during his/her service including service rendered on deputation. However, the provisions of section 7(3) and 7(3A) of the Payment of Gratuity Act,1972 are to be kept in view in the event of delayed payment.</p> <p style="text-align: center;">*****</p>
	<p><b><u>CHAPTER – V - APPEALS</u></b></p>
<p><b>32.0</b></p>	<p><b><u>Appeals:</u></b></p> <p>(i) A Management staff may appeal against an order imposing upon him/her any of the penalties specified in Rule 24 or against the order of suspension referred to in Rule 21. The appeal shall lie with the authority specified in the schedule.</p> <p>(ii) An appeal shall be preferred within 60 days from the date of communication of the order appealed against. The appeal shall be addressed to the Appellate Authority specified in the schedule and submitted to the Authority whose order is appealed</p>

	<p>against. The Authority whose order is appealed against shall forward the appeal together with its comments and the records of the case to the Appellate Authority. The Appellate Authority shall consider whether the findings are justified or whether the penalty is excessive or inadequate and pass appropriate orders. The Appellate Authority may pass orders confirming, enhancing, reducing or setting aside the penalty or remitting the case to the authority which imposed the penalty or to any other authority with such direction as it may deem fit in the circumstances of the case. Provided that if the enhanced penalty which the appellate authority proposes to impose is a major penalty specified in Rule 24 and an inquiry as provided in Rule 26 has not already been held in the case, the Appellate Authority shall direct that such an inquiry be held in accordance with the provisions of Rule 26 and thereafter consider the record of the inquiry and pass such orders as it may deem proper. If the Appellate Authority decides to enhance the punishment but an inquiry has already been held as provided in Rule 26 the Appellate Authority shall give a show-cause notice to the Management staff as to why the enhanced penalty should not be imposed upon him/her. The Appellate Authority shall pass final orders on the appeal after taking into account the representation, if any, submitted by the employee.</p> <p>(iii) Every Management staff submitting an appeal shall do so separately and in his/her own name.</p> <p>(iv) Every appeal referred under these Rules shall contain all material statements and arguments relied on by the appellant and shall contain no disrespectful and/or improper language and shall be complete in itself.</p> <p>(v) The authority who passed the order, which is appealed against, may withhold the appeal if it is not made in accordance with the rules and submitted within the time limit, or if it is repetition of an appeal already decided.</p>
32(A)	<p><b><u>Review</u></b></p> <p>(i) The Reviewing Authority for the purpose of this Rule shall mean the Appellate Authority or any authority higher than it, as the case may be.</p> <p>(ii) Notwithstanding anything contained in these Rules, the Reviewing Authority may at any time within six months of the date of final order, either on his/her own motion or otherwise call for the records of any enquiry and revise any order made under these Rules or under the Rules from which an appeal is allowed, but from which no appeal has been preferred and may for sufficient cause:</p> <p>a) modify or set aside the order; or</p> <p>b) reduce, enhance or set aside the penalty imposed by the order, or impose any penalty where no penalty has been imposed; or</p> <p>c) remit the case to the Authority directing such authority to make or cause to be made such further inquiry as it may consider proper in the circumstances of the case; or</p> <p>d) pass such other orders as it may deem fit.</p> <p>Provided that if the Reviewing Authority proposes to enhance the penalty already imposed and the proposed penalty is a major penalty as specified in Rule 24 and an inquiry as provided in Rule 26, has not already been held in that case, the Reviewing Authority shall direct that such an inquiry be held in accordance with the provisions of the Rule 26 and there after, consider the record of the inquiry and pass such order as it</p>

	<p>may deem proper. If the Reviewing Authority decides to enhance the punishment but an inquiry has already been held as provided in Rule 26, the Reviewing Authority shall give a show cause notice to the Management staff as to why the enhanced penalty shall not be imposed upon him/her. The Reviewing Authority shall pass the final order after taking into account the representation, if any, submitted by the Management staff .</p>
32(B)	<p><b><u>Other actions:</u></b></p> <p>Any disciplinary proceedings initiated against a Management staff or the imposition of any of the penalties specified in Rule 24 on a Management staff shall be in addition to and without prejudice to any other rights or remedies available to the Company arising out of the same transaction(s), event(s), act(s) or omission(s) including, but not limited to the right of civil action and of criminal action and the rights under any other law for the time being in force.</p>
33.0	<p><b><u>Premature Retirement:</u></b></p> <p>(a) Without prejudice to, and independent of the rights of the Company to dispense with the services of employees either under the contract of employment or under these Rules or on grounds of medical unfitness irrespective of the age of a Management staff designated as Management staff who has attained the age of 50 years or has served the Company for more than 15 years and is considered to be inefficient or of doubtful integrity or medically unfit may be prematurely retired by the Competent Authority by giving him/her notice of not less than 3 months in writing or three months' salary in lieu of notice.</p> <p>The criteria for judging inefficiency, doubtful integrity or medical unfitness shall be as follows:</p> <p>(i) <i>Inefficiency:</i> Inefficiency will be evaluated on the basis of the Annual Performance Appraisal of the Management staff(s). A Management staff may be considered for premature retirement where in the summary appraisal of his/her APA in any three years during the preceding five years, he/she has been rated "below satisfactory", provided that during this period, his/her reports have been written by at least two different superiors. If not, an opportunity will be afforded to the Management staff to be assessed by another superior for at least one year. The basic consideration in identifying such officers is the fitness/competence of the Management staff to continue in his/her present post which he/she is holding. Adverse remarks to be communicated to the concerned employee alleging inefficiency and the domain thereof.</p> <p>(ii) <i>Doubtful integrity:</i> A Management staff may be considered for premature retirement when he/she gets an adverse comment on his/her integrity in his/her APA in any three years during the preceding five years and there is a proven instance of misconduct relating to his/her integrity, provided that during this period, his/her reports have been written by at least two different superiors. If not, an opportunity will be afforded to the Management staff concerned to be assessed by another superior for at least one year.</p> <p>(iii) <i>Medical unfitness:</i> Head of a Unit may, on medical grounds, refer a Management staff to a Medical Board (constituted by ED/GM of Unit/Region or HR Department and comprising of not less than 2 Medical Officers of the Company , apart from a Specialist, and a Govt. Medical Advisor of status not less than that of a Civil Surgeon) in any of the following circumstances for a medical check-up and report on the nature and prognosis of disease, if any, that he/she is suffering from .</p> <p><i>Note:</i> The term "Medical Officer" of the Company would include a Medical Practitioner</p>

as may have been retained by the Company.

- a) when a Management staff owing to apparent physical or mental infirmity or deterioration in general health, is unable to discharge his/her duties;
- b) when a Management staff is reported to be suffering from incurable and infectious/contagious disease;
- c) when a Management staff is suffering from a curable disease but is not likely to be fit to resume his/her normal duties within a period of 12 months;
- d) when a Management staff, though attending duties, is found to be mentally deranged, or suffering from lunacy or mental infirmity;
- e) when a Management staff has been on leave for reasons of sickness for total period of 120 days including Sundays, holidays and other closed days or more, during a continuous period of six months; or
- f) when a Management staff not on maternity leave has been continuously on leave on medical grounds for 12 weeks including Sundays, holidays and other closed days.

Based upon the report of the Medical Board, the Competent Authority may consider premature retirement of a Management staff on medical grounds on the recommendations of the authority designated for recommending premature retirement under these Rules provided:

- the Management staff is not fit to resume his/her duties within a period of 12 months, or
- the Management staff is suffering from lunacy or mental derangement and his/her services cannot be effectively utilised by the Company, or
- the Management staff is suffering from incurable and infectious/contagious disease and his/her attendance is likely to pose health hazards to others.

(b) Before any action is taken against a Management staff under these Rules, the Management staff concerned will be asked through a notice in writing to show cause as to why the contemplated action under the sub-clauses should not be taken against him/her, and his/her explanation if any, taken into account.

(c) Competent Authority for this Rule shall be as under:

***Please see clause no. 9(i)***

- (d) The following benefits will be admissible to those retiring prematurely under the scheme:
  - (i) On grounds of medical unfitness: In accordance with the Company's Scheme for Premature Retirement on Medical Grounds.
  - (ii) On grounds of inefficiency or of doubtful integrity: The admissibility of various benefits will be governed as under:

	<p>a) Provident Fund, Gratuity, Encashment of Leave, Contributory Superannuation Benefit Fund Scheme and Contributory Post- Retirement Medical Scheme in accordance with the respective Rules governing each of these entitlements/benefits.</p> <p>b) Notice Pay: 3 /1 months' salary, where notice in writing is not given and / or as per terms and conditions of the appointment letter of the concerned Management staff .</p> <p>c) Transfer benefit for self and family for proceeding to home-town or to a place where he/she intends settling down in India in accordance with the TA Rules.</p> <p>(c) <b><i>Provision for review:</i></b></p> <p>A Management staff may request for review within 30 days of the receipt of the order/notice of premature retirement. The request shall be submitted to the authority whose order is being requested for review. The request shall contain all material statements and arguments on which the appellant relies and shall not contain any disrespectful or improper language and shall be complete in itself.</p>
34.0	<p><b><u>Service of Orders, Notices, etc.:</u></b></p> <p>Every order, notice and other process made or issued under these Rules shall be served in person on the Management staff concerned or communicated to him/her by registered post at his/her last known address.</p>
35.0	<p><b><u>Power to Relax Time-Limit and to Condone Delay:</u></b></p> <p>Save as otherwise expressly provided in these Rules, the authority competent under these Rules to make any order may, for good and sufficient reasons or if sufficient cause is shown, extend the time specified in these Rules or anything required to be done under these Rules or condone any delay.</p>
36.0	<p><b><u>Savings:</u></b></p> <p>While these Rules supersede existing Rules, Instructions, Circulars, Guidelines given thereto from time to time concerning Management Staff (WL I to IV) in HPL in respect of Conduct, Discipline and Appeal etc., it is hereby provided that-</p> <p>(1) Any misconduct, etc., committed prior to the issue of these Rules which was a misconduct under the superseded Rules, Instructions, Circulars, Guidelines in respect of Conduct, Discipline and Appeal etc. shall be deemed to be a misconduct under these Rules.</p> <p>(2) Any proceedings initiated and/or pending within a period of 4 (four) years prior to the date of commencement of these rules, shall continue and be disposed of as far may be, in accordance with the provision of these rules, as if, such proceedings are initiated under these Rules.</p> <p>(3) Any appeal pending at the commencement of these Rules against an order made before the commencement of these Rules shall be considered and orders thereon shall be made, in accordance with these Rules.</p>
37.0	<p><b><u>Notification of Authorities:</u></b></p>

	The various Authorities under these Rules may be prescribed and notified, as required from time to time, with the approval of the Managing Director.
<b>38.0</b>	<b><u>Removal of Doubts:</u></b>  Where a doubt arises as to the interpretation of any of these Rules, the matter shall be referred to the Managing Director for final decision. Likewise, any instructions in the nature of clarifications to these rules shall be issued with the approval of the Managing Director.
<b>39.0</b>	<b><u>Amendments:</u></b>  The Managing Director may amend, modify or add to these Rules, from time to time, and all such amendments, modifications or additions shall take effect from the date stated therein.
<b>40.0</b>	<b><u>Repeal</u></b>  These Rules supersede all existing Rules, Instructions, Circulars, Guidelines given thereto from time to time concerning management staff (WL I to IV) in HPL in respect of Conduct, Discipline and Appeals etc.

<b><u>SCHEDULE UNDER RULE 24 (DISCIPLINE)</u></b>			
<b><u>Category of Management staff</u></b>	<b><u>Disciplinary Authority</u></b>	<b><u>Penalties / Recommendations</u></b>	<b><u>Appellate Authority</u></b>
Work Level –I	Managing Director	All Penalties/ Recommendations	Chairman  All Penalties including dismissal
Work Level –II to Work Level – IV	Head-Legal & Vice President and Company Secretary / Dy. Company Secretary	All Penalties / Recommendations	Managing Director  All penalties including dismissal

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## FORM – I

**Statement Regarding Employment of Relative in the Company**

**OFFICE MEMORANDUM**

1. Name of the office (in full) .....
2. Present post held .....
3. Place of Posting .....
4. Present basic pay and scale .....
5. Date of joining the Company .....

Particulars of the relatives employed in the Company					
Name & Designation	Office/ Dept. in which employed	Basic pay and scale	Relationship with employee	Date of appointment of the relative employed in the Company	Remarks
1	2	3	4	5	6

Signature of the employee.....

Date .....

**FORM – II**

**Declaration Regarding Relations Connected with Firms/ Business House  
Doing Business with the Company**

1. Name of the Management staff (in full).....



2. Present post held .....
3. Place of posting .....
4. Present basic pay and scale .....
5. Date of joining the Company .....

I, the undersigned, hereby declare that none of my relations is/ are the following relations are connected with any firms or business houses engaged in business dealing with the Company.

Sl. No.	Complete address of the firm /business house doing business with the Company with name of Proprietor / Partner/ Manager	Nature of relationship of the Management staff with proprietor/ Partner / Manager of the said firm or business house	Nature of business dealings with the Company	Nature of pecuniary or other interest of the Management staff having relations with said firm/ business house
1	2	3	4	5

6. I also undertake to inform the Management immediately about the changes that may take place regarding the connections of my relations with the firms doing business with the Company.
7. I further declare that I shall not participate in decisions relating to award of contracts/ giving orders for purchase or sale or any other matter to the advantage of the firm where my relation(s) is/ are having connection.

Place :

Date :

Signature

*\*Strike off whichever is not applicable.*

### FORM – III

#### Statement regarding any kind of Business Done by the Employee in either his/ her Own Name or in the Name of his/ her Family Members

1. Name of the office (in full) .....
2. Present post held .....

- 3. Place of Posting .....
- 4. Present basic pay and scale .....
- 5. Date of joining the Company .....

Details of the Business	Name of the person in whose name the business is held / conducted	Relationship of the employee in whose name the business is held/ conducted	Approximate monthly income
1	2	3	4

Signature of the employee.....

Date .....

**FORM IV A**

**Form for giving Prior Intimation or Seeking Previous sanction in respect of Immovable Property.**

1	Name and designation	
2	Scale of pay and present pay	
3	Purpose of application / sanction for	

	transaction / prior intimation of transaction	
4	Whether property is being acquired or disposed of	
5	Probable data of acquisition/ disposal of property	
6	Mode of acquisition/ disposal	
7	a) Full details about location viz. Municipal No. / Street/ Village/ District / State in which situated	
	b) Description of the property, in the case of cultivable and dry or irrigated land	
	c) Whether freehold or leasehold	
	d) Whether the applicant's interest in the property is in full part (in case of partial interest the extent of such interest must be indicated)	
	e) In case the transaction is not exclusively in the name of the Employee, particulars of ownership and share of each member	
8	Sale/ purchase prices of the property (Market value in the case of gifts)	
9	In case of acquisition, source or sources from which financed / proposed to be financed.	
	a) Personal savings	
	b) Other sources giving basis	
10	In the case of disposal of property, was requisite sanction/ intimation obtained/ given for its acquisition? (a copy of the sanction/ acknowledgement should be attached)	
11	a) Name and address of the party with whom transaction is proposed to be made	

	b) Is the party related to the Applicant? If so, state the relationship.	
	c) Did the applicant have any dealings with the party in his official capacity at any time or is the applicant likely to have any dealings with him in the near future?	
	d) How was the transaction arranged? (Whether through any statutory body or a private agency, through advertisement or through friends and relatives, full particulars to be given.	
12	Any other relevant fact which the applicant may like to mention	

### DECLARATION

I, .....hereby declare that the particulars given above are true. I request that I may be given permission to acquire/ dispose of property as described above from/ to the party whose name is mentioned in item 11 above.

OR

I,..... hereby intimate the processed acquisition/ disposal of property by me as detailed above. I declare that the particulars given above are true.

Station :

Signature :

Date :

Designation :

Note 1 – In the above form, different portion may be used according to requirement.

Note 2 – Where previous sanction is asked for, the application should be submitted at least 30 days before the success date of the transaction.

### FORM – IV B

Form for giving intimation or seeking previous sanction for transaction in respect of movable property.

1	Name of the Employee	
2	Scale of pay and present pay	
3	Purpose of application – Sanction for	

	transaction / prior intimation of transaction	
4	Whether property is being acquired or disposed of	
5	a) Probable date of acquisition / disposal of property	
	b) Actual date of transaction if the property is already acquired / disposed of,	
6	a) Description of the property (e.g. Car/ Scooter/ Motor Cycle/ Radiogram/ Jewellery/ Loans/ Insurance Policies etc.	
	b) Make Model (and also Registration No. in case of vehicles) where necessary.	
7	Mode of acquisition / disposal (purchase / sale/ gift/ mortgage lease or otherwise)	
8	Sale/ purchase price of the property (Market value in the case of gifts)	
9	In case of acquisition, sources from which financed / proposed to be financed	
10	In the case of disposal of property, was requisite Sanction/ intimation obtained/ given for its acquisition (a copy of sanction / acknowledgement should be attached)	
11	a) Name and address of party with whom transaction is proposed to be made/ has been made	
	b) Is the party related to the applicant? If so, state the relationship	
	c) Did the applicant have any dealings with the party in his official capacity at anytime or is the applicant likely to have any dealings with him in the near future?	
	d) Nature of official dealings with the party	

	e) How was the transaction arranged? (Whether through any statutory body or a private agency, through advertisements or through friends and relative (Full particulars to be given)	
12	Any other relevant fact within the applicant may like to mention	

**DECLARATION**

I, ..... hereby declare that the particulars given above are true. I request that I may be given permission to acquire/ dispose of property as described above from / to the party whose name is mentioned in item 11 above.

OR

I, .....hereby intimate of the acquisition / disposal property by me as detailed above. I declare that the particulars given above are true.

Station :

Signature :

Date :

Designation :

Note : 1 In the above form, different portions may be used according to requirement.

Note : 2 Where previous sanction is asked for, the application should be submitted at least 3 days before the success date of the transaction.

**FORM – VA**

**STATEMENT OF MOVABLE PROPERTY ON FIRST APPOINTMENT  
FOR THE YEAR .....**

Name (in full) ..... Date of joining the Company.....

Present post held ..... Department .....

Employee code No. .... Place of Posting .....  
 Present basic pay .....

Sl. No.	Description of items	Price or value at the time of acquisition and/or the total payment made up to the date of return, as the case may be in case of articles purchased on hire-purchase or installment basis (In case of cash, bank balances, shares, deposits, loans etc. amount should be indicated in this column)	If not in own name, name and address of the person in whose name and his relationship with the employee	How acquired with approximate date of acquisition	Remarks
1	2	3	4	5	6

Signature of employee .....

Date .....

*Note :* In column 5, it may be indicated whether the property was acquired by purchase, inheritance, gift or otherwise.

**FORM – VI**

No.....

Name of the Company .....

Place of issue .....Dated .....

ORDER

Whereas a disciplinary proceeding against    Whereas a case against

Sri/ Smt. ....  
(name & designation of the Employee) is  
contemplated / pending

Sri/ Smt.....  
(name & designation of the employee ) in  
respect of an original offence is under  
investigation / inquiry/ trial.

Now, therefore, the undersigned (authority competent to suspend), in exercise of the powers conferred by Rule 21(i) of Conduct, Discipline and Appeal Rules,2011 hereby place the said Sri/ Smt. .... under suspension with immediate effect .....and until further order.

It is further ordered that during the period, this order shall remain in force, the Headquarter of Sri/ Smt. .... (name & designation of the employee) shall be ..... (name of place) and said..... Sri/ Smt..... shall not leave the Headquarters without obtaining the previous permission of the undersigned.

Signature  
(Name & Designation of the Suspending Authority)

1. Copy to Sri/ Smt. .... (name & designation of the employee). Orders regarding subsistence admissible to him during the period of his suspension will be issued separately.
2. Copy to Sri/ Smt. .... (name & designation of the lending authority) for information.
3. The circumstances in which the order of the suspension was made are as follows:  
(Here give details of the case and reasons for suspension)

*Note- paras 2 and 3 should not be inserted in the copy of the order of suspension sent to the employee to be suspended.*

Distribution :

- 1.
- 2.

**FORM – VI A**

No. ....

Name of the Company .....

Place of issue .....



ORDER

Whereas a case against Shri/ Smt. .... (name and designation of the employee) in respect of criminal offence is under investigation.

And Whereas the said Shri/ Smt. .... is detained in custody on ..... for period exceeding fortyeight hours.

Now, therefore, the said Shri/ Smt. .... deemed to have been suspended with effect from the date of detention i.e. .... in term of sub-rule 21(ii) of the Conduct, Discipline and Appeal Rules, 2011 and shall remain under suspension until further orders.

Signature .....

Name and designation of the Suspending Authority

**FORM – VII A**

**MEMORANDUM**

The undersigned proposes to hold an inquiry against Sri/Smt. -----  
----- under Rule 26 of the Conduct, Discipline and Appeal Rules, 2011 dated \_\_\_\_\_, 2011. The substance of the imputations of misconduct or misbehavior in respect of which the inquiry is proposed to be held is set out in the enclosed statement of Articles of Charge together with imputation of misconduct or misbehavior in support of such Articles of Charge

**(Annexure – I)**. A statement of the imputations of misconduct or misbehavior in support of each Article of Charge is enclosed (**Annexure-II**). A list of documents by which, and list of witnesses by whom, the Articles of Charge are proposed to be sustained are also enclosed (**Annexure-III & IV**).

2. Sri / Smt. \_\_\_\_\_ is directed to submit within 10 days to the receipt of this Memorandum, a written statement of his defence and also to state whether he/she desires to be heard in person.

3. He/ She is informed that an inquiry will be held only after the receipt of the reply of this memorandum only in respect of those Articles of Charge which are not admitted. He / She should, therefore, specifically admit or deny each Articles of Charge.

4. Sri/ Smt. \_\_\_\_\_ is further informed that if he/she does not submit his/her written statement of defence within the period specified in Para–2 above or does not appear in person before the Inquiring Authority or otherwise fails or refuses to comply with the orders/decisions issued in pursuance of the inquiry against him ex-parte.

5. Attention of Sri/ Smt. \_\_\_\_\_ is invited to Rule 19 of the Conduct, Discipline and Appeal Rules, 2011 of HPL under which he/she is advised that he/ she shall not bring or attempt to bring any outside influence to bear upon any superior authority to further his/her interests in respect of matters pertaining to the service under the Company. If any representation is received on his/her behalf from another person in respect of any matter dealt with in these proceedings, it will be presumed that Sri \_\_\_\_\_ is aware of such a representation and that it has been made at his/ her instance and action will be taken against him/ her for violation of Rule 19 of the Conduct, Discipline and Appeal Rules, 2011 of HPL.

6. The receipt of this Memorandum may be acknowledged.

To :

Sri \_\_\_\_\_

\_\_\_\_\_  
(Name & Designation of the Competent Authority)

### **ANNEXURE - I**

Statement of Articles of Charge framed against Shri/ Smt. \_\_\_\_\_

\_\_\_\_\_  
(Name and designation of the employee)

**Article – I**

That the said Sri \_\_\_\_\_ while functioning as \_\_\_\_\_ during the period \_\_\_\_\_.

**Article-II**

That during the aforesaid period and while functioning in the aforesaid office, the said Sri/ Smt. \_\_\_\_\_

**Article-III**

That during the aforesaid period and while functioning in the aforesaid office, the said Sri/ Smt. \_\_\_\_\_.

**ANNEXURE - II**

Statement of imputation of misconduct or misbehavior in support of the Articles of Charge framed against Shri/ Smt. \_\_\_\_\_

\_\_\_\_\_  
(Name and designation of the employee)

Article – I

Article – II

Article – III

**ANNEXURE - III**

List of documents by which the Article of Charge framed against Sri/ Smt. \_\_\_\_\_ (Name & designation of the employee) are proposed to be sustained.

- 1.
- 2.
- 3.

**ANNEXURE - IV**

List of witnesses by whom the Articles of Charge framed against Sri/ Smt. \_\_\_\_\_  
\_\_\_\_\_ (Name & designation of the employee) are proposed to be sustained.

- 1.
- 2.
- 3.

**FORM – VII B**

**MEMORANDUM**

Sri/ Smt. \_\_\_\_\_ (Designation) \_\_\_\_\_

\_\_\_\_\_ (Office in which working) \_\_\_\_\_

is hereby informed that it is proposed to take action against him/ her under Rule 28 of the Conduct, Discipline and Appeal Rules, 2011 of Haldia Petrochemicals Limited. A statement of the imputations of misconduct or misbehavior on which action is proposed to be taken as mentioned above is enclosed.

2. Sri/ Smt. \_\_\_\_\_ fails to avail his/ her opportunity to make such representation as he/ she may wish to make against the proposal.

3. If Sri/ Smt. \_\_\_\_\_ fails to submit his/ her representation within 10 days of the receipt of this Memorandum, it will be presumed that he/ she has no representation to make and orders will be liable to be passed against Sri / Smt. \_\_\_\_\_ ex-parte.

The receipt of this Memorandum should be acknowledged by Sri/ Smt. \_\_\_\_\_

\_\_\_\_\_.

(Signature)

*(Name & designation of the Competent Authority)*

To :

Sri / Smt. \_\_\_\_\_