

## Policy for Mandatory Leave

Policy for Mandatory Leave contained in HRDD Circular No. 853 dated 21.04.2021 has now been reviewed by the Board in its meeting dated 25.11.2021. The salient points of the revised guidelines vis-à-vis the existent guidelines are as under –

S. No.	Existing Guidelines	Revised Guidelines
1.	Sensitive Posts/ Positions within the Bank are classified into two categories namely – <ul style="list-style-type: none"><li>• <b>Highly Sensitive – Away From Desk</b></li><li>• <b>Sensitive General</b></li></ul>	The two separate Sensitive categories are merged to one single category as <b>Sensitive Positions or Areas of Operation.</b>
2.	In addition to the employees under <b>Highly Sensitive – Away From desk &amp; Sensitive General</b> categories, <b>Head Cashiers &amp; Workmen assigned with DBA ID</b> also fall under the purview of Mandatory Leave Policy and they require to avail Mandatory Leave for at least 10 continuous working days.	Head Cashiers & Workmen assigned with DBA ID are <b>excluded from the purview of Mandatory Leave Policy.</b>
3.	Presently, Special Leave due to COVID is not considered for the purpose of Mandatory Leave.	Special Leave due to COVID is to be considered for the purpose of Mandatory Leave.
4.	Joining Time, Maternity Leave, Paternity Leave, Sabbatical Leave were considered for the purpose of availment of Mandatory Leave for the employees falling under <b>Sensitive General</b> category.	The provision for allowing these types of leaves for the purpose of availment of Mandatory Leave is discontinued <b>except for Maternity Leave &amp; Sabbatical Leave.</b>

- The duration of Mandatory Leave for the employees working on “**Sensitive Positions or Areas of Operation**” has been revised to **at least 10 continuous working days, without prior intimation.**
- All employees who are not categorized as working on **Sensitive Positions or Areas of Operation** (as detailed in the policy) are **excluded from its purview.**
- The revised guidelines be implemented for the remaining employees in sensitive positions or areas of operation who have not availed mandatory leave for the current year 2021.

The duration of Mandatory Leave for the employees working on “**Sensitive Positions or Areas of Operation**” has been revised to **at least 10 continuous working days, without prior intimation.**

In order to ensure the “**without prior intimation**” guidelines, Joining Time, Paternity Leave has been **excluded** and **Special Leave due to COVID has been included** in the policy for the purpose of Mandatory Leave.

### Policy Governance

#### **A. Policy Change and frequency of review**

Policy will be reviewed as and when required to incorporate changes advised by Govt./ RBI / IBA etc. In any case, the policy will be reviewed annually.

#### **B. Approval path**

To be placed before Board through Steering Committee of the Board on HR.

#### **1. Policy Overview**

##### **A. Objective**

This policy is framed as a tool of preventive vigilance and an operational risk management measure. The policy, inter-alia, defines the number of days of leave to be availed by the employees falling under the category of **Sensitive Positions or Areas of Operation** as under –

S. No.	Category	Profile	No. of Days
	Sensitive Positions or Areas of Operation	Branch Head, Circle Head, Zonal Manager, Head of Offices, Chief General Managers/General Managers of HO Divisions viz. Credit, IBD, Treasury etc. and other positions as detailed in para 2.3.	Leave for a continuous period of at least 10 working days in a calendar year, without any prior intimation.

**A.** All employees who are not categorized as working on **Sensitive Positions or Areas of Operation** (as detailed in the policy) are **excluded from its purview**.

**B.** The Policy will be reviewed as and when required to incorporate changes advised by government / Reserve Bank of India (RBI) / Indian Banks' Association (IBA) etc. In any case, the policy will be reviewed annually.

## 2. Policy Details

### 2.1 Objective

This policy is framed as a tool of preventive vigilance and an operational risk management measure.

### 2.2 Scope

The Compliance requirements under this policy are:

The period of Mandatory Leave shall be granted as **“Special Leave”** for all officials holding the positions/posts termed as **“Sensitive Positions or Areas of Operation”** and hence there will not be any impact of Mandatory Leave on usual leave entitlement of the individual employee.

### 2.3 Applicability

Officers categorized as working on **“Sensitive Positions or Areas of Operation”** are invariably required to be sent on Mandatory Leave for the required period. The positions/ posts identified as falling under the category of **“Sensitive Positions or Areas of Operation”** are as under –

S. No.	Offices	Sensitive Positions or Areas of operation
1.	Branches	Branch Heads
		Officers working in Credit Deptt other than those handling MIS
		Officers working in Foreign Exchange Department other than those handling MIS & Back Office activities
		Officers assigned with DBA ID
2.	Zonal Offices; Circle Offices	Zonal Head; Circle Head
		Officers handling processing & recommending of credit proposals
		Functional-in-charge of IT Deptt. Functional-in-charge of GSAD
3.	PLPs (RAMs/ iRAMs); CBBs; ELCBs; MCCs; LCCs; ZRMCs; Recovery Centers; Zonal Recovery Centers; ARMBs; TFCs; Currency Chests; RCCs; CDPCs; CPPCs; Local Clearing Centers; Back Offices; Clearing Houses; COSCA; MICR Centers; Link Cell Nagpur; CAML; SWIFT Centers; ITEC/ AEC	Branch Heads/ Head of Offices
		Officers handling processing & recommending of credit proposals/Recovery Officers handling Foreign Exchange including reconciliation other than those handling MIS
		Officers handling Risk Assessment & Validation at ZRMCs
		Officers handling IT procurement
		Officers handling procurement, premises and maintenance
		Officers handling reconciliation work in RCCs/ CDPCs
		Custodians in Currency Chests
		All officers in SWIFT Center

4.	Head Office	<p>Chief General Managers (General Managers, in case no CGM post in the Div.) of mentioned Divisions and other Officers as detailed hereunder:</p> <ul style="list-style-type: none"> <li>• Credit Division:- Officers handling processing &amp; recommending of credit proposals</li> <li>• IBD:- Officers handling processing &amp; recommending of credit proposals; handling reconciliation work in Foreign Exchange</li> <li>• GSAD:- Officers handling procurement, premises and maintenance</li> <li>• Treasury:- Officers working as Dealers or handling reconciliation work, Back Office, User Maintenance-Admin, Accounts</li> <li>• Recovery:- Processing Officers</li> <li>• ITD:- Officers handling IT procurement</li> <li>• DBD:- Officers handling Vendor Management</li> <li>• IRMD:- Officers working in Model Development &amp; Validation</li> </ul>
		Printing & Stationary:- Officers handling purchase
		PF & Pension Dept:- Officers handling investment
		Officers working in Vigilance Department

#### 2.4 General Guidelines

- i) The officers identified as under “**Sensitive Positions or Areas of Operations**” are required to be asked to be **on Mandatory Leave for a continuous period of at least 10 working days in a calendar year**, without prior intimation, against leave standing to his/her credit.
- ii) Joining time, Paternity Leave or Training Period will not be considered for the purpose of availment of Mandatory Leave.
- iii) However, Maternity Leave and Sabbatical leave will be considered for the purpose of availment of Mandatory Leave.
- iv) The provision for allowing Special Leave due to COVID, Maternity Leave and Sabbatical Leave for the purpose of availment of Mandatory Leave is discontinued.
- v) Circle Heads, Zonal Managers and General Managers at HO, may advise any staff under their jurisdiction, other than the employees under “*Sensitive Positions or Areas of Operation*”, to be on Mandatory Leave, if considered necessary in the interest of the Bank.

#### 2.5 Exemptions

- i) Employees transferred during the calendar year from one branch/office to another branch/office.
- ii) Employees retiring during the calendar year (upto June).

#### 2.6 Timelines for Compliance

Preparation of Plan	31 <sup>st</sup> January
50% compliance	30 <sup>th</sup> June
75% compliance	30 <sup>th</sup> September
100% compliance	31 <sup>st</sup> December

## 2.7 Standard Operating Procedure

- i) The absence from duty or leave programme for the employees under “**Sensitive Positions or Areas of Operation**” should be suitably planned/ staggered so that the normal functioning including quarterly/ half yearly/ annual closing work of Branches/ Offices is not hampered in any way. Leave availment should generally be avoided in the last month of the quarter as far as possible.
- ii) It should be ensured that least inconvenience is caused in functioning of the Branch/ office by making suitable alternate arrangement.
- iii) It must also be ensured that the Mandatory Leave is complied during the calendar year i.e. the end date of the Mandatory Leave should be on or before 31st December.
- iv) If an employee has been sent on Mandatory Leave during the year as applicable, he/she need not to be sent on leave again during the same calendar year on account of change in profile from non-sensitive to sensitive or vice versa.

## 2.8 Monitoring

- i. Leave sanctioning authority is responsible for ensuring the implementation of the policy. The authority must ensure meticulous compliance of the “*without prior intimation*” guidelines of the policy. In case of Officers in Scale VIII/VII, HRDD Head Office will monitor the same.
- ii. Respective Incumbent of Circle Office/Zonal Office/HO Divisions will monitor the implementation on quarterly basis and advise its staff suitably from time to time. Compliance Report of implementation will be placed to Audit Committee of Board in each quarter by HRDD, Head Office.
- iii. The Inspecting Officers/Concurrent Auditors, while inspecting/auditing Branches/Offices should examine implementation of the “Mandatory Leave Policy” and point out instances of breaches, if any, in their report.

## 2.9 Other Guidelines

- i. An employee on “Mandatory Leave” should not have access to any physical or virtual resources related to his work responsibilities, with the exception of corporate email. The employee’s user ID should also be disabled during the period of leave. Further, effective controls be maintained to ensure that employee is completely away from work during the Mandatory leave period and does not remotely manage his/her job during Mandatory Leave.
- ii. These leaves should not be treated as any kind of separate/ additional leave over and above the various types of leave available to the staff members as per the service conditions.
- iii. All respective Circle/Zonal Offices and HO Divisions to ensure that the guidelines framed under this policy are implemented as a measure of preventive vigilance and to safeguard Bank’s interests.
- iv. For officials posted at overseas, relevant guidelines on Mandatory Leave Policy of overseas regulator(s) will be prevalent. However, for the officers posted at **overseas branches**, the Mandatory Leave Policy of the Bank shall be applicable. Further, the regulations which are stringent among those issued by the RBI and respective overseas banking regulators, would be applicable for the same.
- v. Policy will be reviewed as and when required to incorporate changes advised by Govt. / RBI/IBA etc. In any case, the policy will be reviewed annually.
- vi. Matters related to deviation/interpretation of this policy vests with Executive Director, HR.

## 3. Annexure

### 3.1 List of Acronyms and Definition

1. Reserve Bank of India-RBI
2. Indian Banks’ Association-IBA

### **3.2 List of references including related policies/forms, RBI Circulars etc.**

DBR.No.BP.BC.88/21.04.048/2014-15 dated 23<sup>rd</sup> April 2015

IBA letter No. HR&IR/BRK/G2/7025 dated 27<sup>th</sup> March 2019

RBI/2021-22/70 DoR.ORG.REC.31/21.06.017/2021-22 dated 09.07.2021

### **3.3 Frequently asked questions**

**Q)** What is the scope of this policy?

**A)** The Compliance requirements under this policy are:

- All Officers holding the positions/posts termed as “Sensitive Positions or Areas of Operation” must invariably be sent on leave for a continuous period of at least 10 working days in a calendar year, without any prior intimation.

**Q)** Why is this policy framed?

**A)** This policy is framed as a tool of preventive vigilance and an operational risk management measure.

**Q)** Is this policy applicable for Officers only?

**A)** Yes.

**Q)** What are the exemptions under this policy?

**A)** Under the following situations, staff members covered in this policy are exempted:

- Employees transferred during the calendar year from one branch/office to another branch/office.
- Employees retiring during the calendar year (upto June).
- Employees not having Sufficient Leave Balance to avail Mandatory Leave.
- Employees remained under suspension or having availed leave without pay (LWP) for a continuous period of more than 21 days.

**(Ref.: Human Resource Development Division Circular No. 878/2022 dated 07.11.2022)**