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TO ALL OFFICES

HUMAN RESOURCE MANAGEMENT DIVISION CIRCULAR NO. 355

PROMOTION POLICY FOR OFFICERS

The Promotion Policy, duly approved by the Board in its meeting dated 14.03.2017 applicable for the year 2017-18 onwards is enclosed for information of all concerned.

**(ALOK SRIVASTAVA)
GENERAL MANAGER**

Encl: As above

PROMOTION POLICY FOR OFFICERS

In terms of Regulation 17 of PNB (Officers') Service Regulations, 1979 and having regard to the guidelines of the Government, the Board of Directors lays down the following policy for promotion of officers in the Bank :-

1. THE TITLE AND COMMENCEMENT :

- i) This policy shall be called PNB Officers Promotion Policy.
- ii) This policy supersedes the earlier Promotion Policy for Officers circulated vide Human Resource Development Division Circular No. 741 dated 30.03.2016 read with corrigendum circulated vide Human Resource Development Division Circular No. 742 dated 1.4.2016.
- iii) This policy shall be applicable in respect of the promotion process for the year **2017-18** and onwards.

2. DEFINITIONS :

In this policy, unless there is anything repugnant to the subject or context:

- i) **'Bank'** means Punjab National Bank.
- ii) **'Board'** means Board of Directors of the Bank.
- iii) **'Competent Authority'** means the authority designated for the purpose by the Board.
- iv) **'Government'** means the Central Government.
- v) **'Guidelines of the Government'** shall mean guidelines issued and/or may be issued by the Government and shall include the guidelines issued by the Government vide its letter No. F.No.4/11/1/2011-IR dated 14.03.2012 in supersession of the earlier guidelines issued by the Government in this regard and subsequent relaxations allowed from time to time. It takes care of the letter No. F.No.4/11/3/2013-IR dated 07.01.2016 issued by Government of India, Ministry of Finance vide which Banks have

been permitted to decide promotion policy with the approval of the Board and be guided accordingly in the best interest of the Bank. It also takes care of Ministry of Finance, Department of Financial Services, Govt. of India letter No. F.No.4/3/1/2012-IR dated 08.12.2016 vide which it has been informed that autonomy has been accorded to PSBs to decide the composition of selection committee for promotion process for promotion from Scale-VI to Scale-VII, with the approval of the Board. It has been advised to ensure that atleast one independent member should be there on the committee and relaxation, if any, may be used in exceptional circumstances and in judicious manner while ensuring fairness and transparency.

- vi) **‘Managing Director and CEO’** means the Managing Director and Chief Executive Officer of the Bank.
- vii) **‘Executive Director’** means the Executive Director(s) of the Bank.
- viii) **‘Officer’** means a person fitted into or promoted to or appointed to in any of the grades specified in Regulation 4 of PNB (Officers’) Service Regulations, 1979 and any other person, who immediately prior to the appointed date was an Officer of the Bank and shall also include any Specialist or Technical person as fitted or promoted or appointed and any other employee to whom any of the Regulations under PNB (Officers’) Service Regulations, 1979 has been made or may be made applicable under Regulation-2 of the said Service regulations.

Within the above definition of ‘Officer’:-

- ‘Core Technical Stream Officer’ means an officer appointed or promoted in the stream of Information Technology including Information Technology- Banking Domain and Data Analyst, Human Resource (HR), Security, Law, Rajbhasha, Economic, Printing Technology, Engineering (Civil/Mechanical/Electrical), Architect, Fire safety for utilization of his services in areas requiring certain technical skills or specialized experience. It will also include officer selected through an internal selection process of the Bank for posting in Risk Management and Treasury Divisions and who have executed a bond to serve the Bank for the period specified.

- 'Technical stream Officer' means an officer appointed or promoted in the stream other than the main stream banking line and also not in the stream identified as Core Technical Stream as above, for utilization of his services in areas requiring certain technical skills or specialized experience. This will include officers in Agriculture, Credit, Chartered Accountant, Data Management, Financial Analyst, Industry, Library, Marketing and Taxation streams.
 - MD & CEO may include or exclude any other technical streams into 'Core Technical stream' within the above definition.
- ix) **'Financial Year'** means the period commencing from the 1st day of April of a year and ending with the 31st day of March of the next year.
- x) **'Regulations'** means PNB (Officers') Service Regulations, 1979, as amended from time to time.
3. All promotions from one scale to another shall be merit based and be made according to the vacancies in respective scale / grade as per Manpower Plan approved by Board.

PART – A:

Policy for Mainstream and Technical stream officers

4. SELECTION PROCESS FOR PROMOTION FROM JMG SCALE-I TO MMG SCALE-II

The vacancies in MMG Scale-II shall be filled up by promotion from JMG Scale-I through Normal Seniority Channel and Merit Fast Track Channel. The Officers will have option to apply for promotion under only one Channel of their choice according to the eligibility criteria prescribed.

Highlights of the two channels are as under:-

Particulars	Normal Seniority Channel		Merit fast Track Channel	
Distribution of vacancies	40%		60%	
Stream	Mainstream	Technical	Mainstream	Technical
Length of service in JMG Scale I required for eligibility	5 Years	5 Years	3 Years	3 Years
Selection parameters:-	<u>Marks</u>	<u>Marks</u>	<u>Marks</u>	<u>Marks</u>
- APAR	60	60	60	60
- Interview	30	40	NA	NA
- Written Test (online)	NA	NA	60	70
- Branch/ Incumbency Experience Marks	10	NA	10	NA
TOTAL	100	100	130	130

Minimum qualifying marks in Interview as well as in Written Test shall be 30% for SC/ST category candidates and 40% for other category candidates.

5. SELECTION PROCESS FOR MMG SCALE-II TO MMG SCALE-III

The vacancies in MMG Scale-III shall be filled up by promotion from MMG Scale-II through Normal Seniority Channel and Merit Fast Track Channel. The Officers will have option to apply for promotion under only one Channel of their choice according to the eligibility criteria prescribed.

Highlights of the two channels are as under:-

Particulars	Normal Seniority Channel		Merit fast Track Channel	
Distribution of vacancies	40%		60%	
Stream	Mainstream	Technical	Mainstream	Technical
Length of service in MMG Scale II required for eligibility	5 Years	5 Years	3 Years	3 Years
Selection parameters:-	<u>Marks</u>	<u>Marks</u>	<u>Marks</u>	<u>Marks</u>
- APAR	60	60	60	60
- Interview	30	40	NA	NA
- Written Test (online)	NA	NA	60	70
- Branch/ Incumbency Experience Marks	10	NA	10	NA
TOTAL	100	100	130	130

Minimum qualifying marks in Interview as well as in Written Test shall be 30% for SC/ST category candidates and 40% for other category candidates.

6. SELECTION PROCESS FOR MMG SCALE-III TO SMG SCALE-IV

Vacancies in SMG Scale-IV shall be filled up by promotion from MMG Scale-III through Merit Channel only.

Particulars	Merit Channel	
	Mainstream	Technical
Stream		
Length of service in MMG Scale III required for eligibility	3 Years	3 Years
Selection parameters:-	<u>Marks</u>	<u>Marks</u>
- APAR	50	50
- Interview	30	40
- Written Test (online)	20	20
- Branch/ Incumbency Experience Marks	10	NA
TOTAL	110	110

Minimum qualifying marks in interview as well as in written test shall be 40% each for all category candidates.

Number of candidates to be called for appearing in the written test shall be decided in the manner prescribed under Clause 11 of this Policy. The candidates who obtain minimum qualifying marks in written test shall be called for interview.

7. SELECTION PROCESS FOR SMG SCALE-IV TO SMG SCALE-V:

Vacancies in SMG Scale-V shall be filled up by promotion from SMG Scale-IV through Merit Channel only.

Particulars	Merit Channel
Eligibility Criteria - Length of service:	
- Length of service in SMG Scale IV	3 Years
- Minimum total length of service	12 Years

Eligibility Criteria – Branch/ Branch Head Experience: <ul style="list-style-type: none"> - For mainstream candidates - For the candidates who were in technical streams (other than core technical streams) at the time of promotion to SMG Scale IV. 	<ul style="list-style-type: none"> - 3 Years experience as Branch Head in any Scale - 3 Years Branch experience including 2 years experience as Branch Head.
Selection parameters:- <ul style="list-style-type: none"> - APAR - Written Test - Interview - Group Discussion TOTAL 	<u>Marks</u> 50 20 25 05 100

Minimum qualifying marks in Written Test shall be 40%.

Minimum qualifying marks in interview shall be 50%.

Number of candidates to be called for appearing in the written test shall be decided in the manner prescribed under Clause 11 of this Policy. The candidates who obtain minimum qualifying marks in written test shall be called for interview and Group Discussion.

8. SELECTION PROCESS FOR SMG SCALE-V TO TEG SCALE-VI:

Vacancies in TEG Scale-VI shall be filled up by promotion from SMG Scale-V through Merit Channel only.

Particulars	Merit Channel
Eligibility Criteria: <ul style="list-style-type: none"> - Length of service in SMG Scale V - Minimum total length of service 	3 Years 15 Years
Selection parameters:- <ul style="list-style-type: none"> - APAR - Interview - Group Discussion TOTAL 	<u>Marks</u> 50 30 20 100

Minimum qualifying marks in interview shall be 50%

9. SELECTION PROCESS FOR TEG SCALE-VI TO TEG SCALE-VII:

Vacancies in TEG Scale-VII shall be filled up by promotion from TEG Scale-VI through Merit Channel only.

Particulars	Merit Channel
Eligibility Criteria:	
- Length of service in TEG Scale VI	3 Years
- Minimum total length of service	18 Years
Selection parameters:-	Marks
- APAR	50
- Interview	30
- Group Discussion	20
TOTAL	100

Minimum qualifying marks in interview shall be 50%

10. COMMON INSTRUCTIONS:-

- 10.1. CUT OFF DATE FOR ELIGIBILITY:** The minimum eligibility in terms of the number of years of service for promotion will be reckoned as on 1st of April of the Financial Year in which the vacancies arise for promotion. Further, the candidates should be on active service (not on sabbatical leave) on this cut-off date and also on the date of release of promotion.
- 10.2. EXCLUSION FROM CONSIDERING ELIGIBILITY:** Period of suspension, period spent on loss of pay, sabbatical leave in existing scale shall be excluded while considering the length of service for eligibility.
- 10.3. RELAXATION IN MINIMUM TOTAL LENGTH OF SERVICE:-** In case, the Technical / Specialist Officers including Core Technical stream Officer joining at a scale higher than in JMG Scale-I, the minimum total length of service requirement as stipulated for promotion to SMG Scale V (12 Years), TEG Scale VI (15 Years) & TEG Scale VII (18 Years) would be reckoned from the level at which they enter the service. For example, if an Officer enters at Scale-II, the minimum length of service for promotion from Scale-IV to Scale-V will be 9 years instead of 12 years.
- 10.4. RURAL INCENTIVE:** The mainstream officers in JMG Scale I who have put in more than two years of service in rural areas in JMG Scale I will get an advantage of relaxation in minimum length of service required for eligibility for promotion under Normal Seniority Channel to the extent of 50% of each additional completed year of service.

Similarly the mainstream officers in MMG Scale II who have put in more than three years of service in rural areas in MMG Scale II will get an advantage of relaxation in minimum length of service required for eligibility for promotion under Normal Seniority Channel to the extent of 50% of each additional completed year of service.

This relaxation shall however not be available to the candidates in MMG Scale II at the time of promotion to MMG Scale III who have availed the relaxation under the same guidelines at the time of promotion from JMG Scale-I to MMG Scale-II.

10.5. RURAL/ SEMI URBAN TENURE/ BRANCH TENURE: Mainstream officers in JMG Scale I must have completed two years of total service in rural areas to become eligible for promotion to MMG Scale II and the officers in MMG Scale II must have completed three years of total service in rural/semi urban areas (including the rural service rendered in JMG Scale I) to become eligible for promotion to MMG Scale III. The stipulation shall however be relaxed with the condition that such candidates shall be posted in rural / semi urban areas, as the case may be, immediately on promotion, to complete the remaining tenure.

The main-stream officers in MMG Scale III should have two years branch experience in Scale-II/III to be eligible for promotion to Scale-IV. However, those officers who do not have the two years branch experience will also be eligible for consideration for promotion but on promotion to SMG Scale-IV, they will be posted straight away to branches for completing the required period of two years.

10.6. WEIGHTAGE OF APAR:

- The annual performance appraisal reports (APAR) marks for the preceding 5 years, including the immediately preceding year for which the vacancies are being filled up, shall be considered for the purpose of awarding marks for promotion, as indicated above.
- The officers who become eligible for promotion with less than the stipulated number of years of service in officer cadre, the marks of performance shall be considered for the number of years for which the concerned officer remained in Officers cadre.
- APAR marks, if any awarded, for working in a particular year for less than 90 days shall not be considered. In such cases the APAR marks of earlier year(s)/ rest of the years shall be considered. In case 'No Report Certificate' is held on record for any relevant year, the marks of the earlier year(s)/ rest of the years shall be taken into consideration.

- “Below Average” rating in any of the APARs being considered for promotion shall render an Officer ineligible for promotion.
- Weightage of APAR parameter in selection process shall be calculated as under :

Aggregate of marks obtained in APARs for the years being considered	X	Maximum marks (50/60) allowed to APAR parameter
<hr/>		
Number of years for which APARs are being considered	X	100

10.7. WRITTEN TEST:

- The written test under Merit / Fast Track Channel for promotion from JMG Scale I to MMG Scale II and from MMG Scale II to MMG Scale III and under Merit Channel for promotion from MMG Scale III to SMG Scale IV and SMG Scale IV to SMG Scale V shall be objective type.
- There will be one paper, separately for each Scale of promotion, called “CBS Awareness and Banking Knowledge Test”.
- The test will be of 120 minutes duration and shall carry 150 questions of one mark each.
- Weightage of marks under Written Test parameter, as prescribed for each Scale of promotion shall be allowed to the candidates who obtain minimum qualifying marks prescribed as above, out of the total marks obtained by them while preparing the merit panel.
- The broad area of coverage of Written Test for each scale of promotion shall be CBS, Knowledge of Bank’s products, Bank’s Book of Instructions, Manuals, Corporate level Credit, Risk Management, Foreign Exchange policies, Practice and Law of Banking and general awareness about Government Schemes, RBI Guidelines and Acts affecting Bankers. The level of question to be asked in the written test for each Scale of promotion shall however be different.

10.8. BRANCH/ INCUMBENCY EXPERIENCE MARKS: Branch/ Incumbency Experience marks to mainstream officers for promotion from JMG Scale I to MMG Scale II, MMG Scale II to MMG Scale III and MMG Scale III to SMG Scale IV, as indicated above, shall be allowed in the following manner:-

Branch experience: 1 mark for each completed year of service in branch during last ten years (Max. 5 marks).

Incumbency Experience: 1 additional mark for each completed year of service as permanent Incumbent Incharge of a branch (not in officiating capacity or for working in stop gap arrangement), during last ten years. (Max. 5 additional marks)

These marks shall be calculated as on 1st April of the financial year for which the vacancies are being filled up.

11. NUMBER OF CANDIDATES TO BE CONSIDERED FOR PROMOTION:

For promotions up to SMG Scale-V, applications shall be invited from all the eligible officers for participating in selection process in all channels.

For promotion from one scale to another, in the channels having parameters of interview, the number of eligible candidates to be considered for promotion shall be restricted to 3 times the number of vacancies for which the promotions are being considered. However, in case fresh candidates equal to the number of anticipated vacancies are not available by keeping the Zone of Consideration at 3 times of the anticipated vacancies, the Zone of Consideration may be extended to 4 times of the number of anticipated vacancies, with the prior approval of the Board. However, all the candidates promoted on one date/ year, as the case may be, shall be included in the Zone of Consideration, even if it goes beyond 3 / 4 times.

Cut off date for calling the candidates for consideration of promotion in the above manner shall be decided by Managing Director & CEO.

The Zone of Consideration as above may be worked out excluding the number of Officers against whom Sealed Cover Procedure is applicable.

12. RELAXATION IN ELIGIBILITY CRITERIA

The eligibility criteria in respect of minimum number of years of service required for promotion from one scale to another may be relaxed by the Board for a maximum period of one year and three months. But the Officers who are on probation shall not be eligible to apply or to be considered for promotion.

13. OFFICERS IN TECHNICAL/SPECIALISED CATEGORIES

- All technical/specialist officers other than Core Technical stream officers are eligible to join the main stream banking provided they have completed 5 years of service from the date of their appointment/promotion as technical/specialist officers. Having regard to the needs and exigencies, the Bank may permit these officers to join the main stream banking or retain them in their own discipline.
- The Technical / Specialist Officers, other than Core Technical stream officers, on being permitted to join main stream of banking shall be provided 12 weeks on-the-job training in branch routine and other aspects of banking. They will cease to be technical/ specialist officers immediately on acceptance of their request to join mainstream. They have to be posted for at least 2 years in field operations i.e in branches immediately after joining mainstream of banking. This provision will not be applicable to Agriculture Officers whose job requirement is already closely related to main stream field operations.
- Those technical/specialist officers, other than Core Technical stream officers, who do not exercise the option to join the mainstream or who are retained in their own discipline even after having exercised option will be provided as far as possible, adequate promotional avenues at par with those available to the officers in the main stream banking. However, all Technical stream officers are expected to equip themselves with minimum basic knowledge of banking operations and procedures thereof.
- The technical stream officers, other than Core Technical stream officers, will be considered for promotion in their respective discipline in the higher grade upto MMG Scale II and such officers will also have to participate in the common promotion process, as indicated above. Services of such Technical/ Specialist Officers, on promotion to MMG Scale III shall be utilized in mainstream provided they have completed 5 years in technical stream. The Technical/ Specialist officers who have not completed 5 years in technical stream, shall be treated as having consented to join mainstream, on promotion to MMG Scale III and their services shall be utilized in mainstream, immediately after completion of 5 years in technical stream. Such Technical/ Specialist officers shall be provided 12 weeks on-the-job training in branch routine and other aspects of banking and will cease to be technical/ specialist officers

immediately on completion of 5 years in technical stream. They have to be posted for at least 2 years in field operations i.e in branches immediately after joining mainstream of banking. This provision will not be applicable to Agriculture Officers whose job requirement is already closely related to main stream field operations.

- Services of differently abled technical stream candidates, other than Core Technical stream officers, can be utilized in their respective streams, on promotion to MMG Scale III, as per Bank's discretion, considering their nature of disability.

14. SC/ST OFFICERS

The SC/ST candidates will be entitled to the benefit of reservations and relaxations, if any, in accordance with the guidelines received, on the subject, from time to time, from Government of India, Ministry of Finance, Department of Financial Services, New Delhi.

15. INTERVIEW AND GROUP DISCUSSION

In all the promotions covered under this policy, the Interview Committee would make an overall assessment of the candidates on the basis of job knowledge, communication skill, conceptual ability, leadership qualities, decision making, and overall personality. However, there shall be no distinct allocation of marks of these components.

Officers in the process for promotion from SMG Scale IV to V, SMG Scale V to TEG Scale VI and TEG Scale VI to VII may be subjected to psychometric test/ assessment center review/ behavior event interview.

For promotion to SMG Scale V and TEG Scale VI & VII, the Committee of Group Discussion shall specifically assess the communication skill, conceptual and leadership capabilities of the candidates.

Deaf and Dumb category candidates can be allowed exemption by the Bank, on their request, to appear in the Group Discussion in the promotion process, having parameter of GD. Competent Authority to allow such exemption shall be Executive Director – Incharge of HRDD/HRMD. Marks under the parameters of GD in such cases will be added in Interview parameter.

16. COMPETENT AUTHORITY TO APPROVE PROMOTIONS AND INTERVIEW COMMITTEES :

a) The competent authorities for the purpose of approving promotions to various scales shall be as under :--

FOR PROMOTIONS	COMPETENT AUTHORITY
JMG Scale-I to MMG Scale-II	Committee comprising one Deputy General Manager and two Assistant General Managers to be nominated by General Manager (HRMD)
MMG Scale-II to MMG Scale-III	Committee comprising one General Manager and two Deputy General Managers to be nominated by the Executive Director, Incharge of HRMD/ HRDD.
MMG Scale-III to SMG Scale-IV	Committee comprising of Two Executive Directors out of which one ED should be the Incharge of HRMD/ HRDD and one General Manager. General Manager to be nominated in case the post of Executive Director is vacant. Managing Director & CEO to nominate Executive Directors/ General Manager on the Committee
SMG Scale IV to SMG scale V	Managing Director & CEO, and two Executive Directors out of which one Executive Director should be the Incharge of HRMD/ HRDD. General Manager to be nominated in case the post of Executive Director(s) is /are vacant). Managing Director & CEO to nominate Executive Directors/ General Manager on the Committee
SMG Scale V to TEG Scale VI	Managing Director & CEO, and two Executive Directors out of which one Executive Director should be the Incharge of HRMD/ HRDD. Managing Director & CEO to nominate Executive Directors on the Committee
TEG Scale VI to TEG Scale VII	Directors Promotion Committee consisting of Managing Director & CEO, Govt. Director & RBI Nominee Director.

b) The following is the constitution of Interview Committees for conducting the interviews:--

LEVEL	CONSTITUTION OF INTERVIEW COMMITTEE
JMG Scale-I to MMG Scale-II	<ul style="list-style-type: none"> a) Deputy General Manager b) Chief Manager c) Head Office representative not below the rank of Chief Manager d) SC/ST representative <p>The Committee to be constituted by General Manager (HRMD)</p>
MMG Scale-II to MMG Scale-III	<ul style="list-style-type: none"> a) General Manager b) Deputy General Manager c) Head Office representative not below the rank of Chief Manager d) SC/ST representative <p>The Committee to be constituted by the Executive Director, Incharge of HRMD/HRDD</p>
MMG Scale-III to SMG Scale-IV	<ul style="list-style-type: none"> a) General Manager b) Deputy General Manager c) Deputy General Manager <p>The Committee to be constituted by the Managing Director & CEO</p>
SMG scale IV to SMG scale V	<ul style="list-style-type: none"> a) Executive Director b) General Manager c) General Manager d) Outside Expert-I* e) Outside Expert-II* <p>The Committee to be constituted by the Managing Director & CEO</p>
SMG scale V to TEG scale VI	<ul style="list-style-type: none"> a) Managing Director & CEO b) Executive Director c) Executive Director d) Outside Expert-I* e) Outside Expert-II* <p>The Executive Directors and Outside Experts in the Committee to be nominated by the Managing Director & CEO</p>
TEG scale VI to TEG scale VII	<p>Directors Promotion Committee consisting of Managing Director & CEO, Govt. Director, RBI's Nominee Director and two outside experts to be nominated by the Managing Director and CEO.</p>

- c) The following is the constitution of Committee for conducting the Group Discussion which shall be constituted by Managing Director & CEO:-

LEVEL	CONSTITUTION OF COMMITTEE
SMG Scale-IV to SMG Scale-V	a) General Manager b) Outside Expert(s)*
SMG Scale-V to TEG Scale-VI	a) Executive Director / General Manager b) Outside Expert(s)*
TEG Scale-VI to TEG Scale-VII	a) Executive Director b) Outside Expert(s)*

* Outside Expert may be prominent citizen, Retired/ Ex- Senior Executive of Bank, Reputed Business School Faculty etc. with domain knowledge.

Other Guidelines:

- i) The Managing Director & CEO is also authorized to change the competent authority to approve promotions and constitution of Interview Committee upto TEG Scale-VI having regard to administrative exigencies.
- ii) Having regard to the number of candidates to participate in a selection process, the exigencies of Bank's work and for other practical reasons, the Bank may constitute more than one Committees for Group Discussion / interview at same / different locations.
- iii) The competent authority shall approve the promotions strictly in the order of merit and on the basis of procedure laid down in this policy.

17. PREPARATION OF MERIT PANEL

- a) In all cases of promotion, for the purpose of preparing the merit list in the order of aggregate marks, only those candidates who secure the minimum qualifying marks in the parameter of written test and/or interview, as stipulated hereinabove, will be considered.
- b) In case two or more candidates secure same number of aggregate marks, their ranking in the merit list shall be decided on the basis of their inter-se seniority in the existing grade/scale.

- c) In case number of eligible candidates available for approval for promotion in either Channel is not sufficient as per the vacancies identified, the remaining vacancies shall be filled up by approving equal number of candidates from other Channel to the extent of available panel.
- d) From the merit list, the Bank shall prepare a panel of selected candidates upto 125% of the identified vacancies.
- e) The promotions will be offered to the extent of the number of vacancies, in the order of merit. The inter-se seniority of the candidates promoted shall remain unchanged in the next higher scale irrespective of their ranking in the merit list. However, the candidates from the panel, who are offered promotions subsequently against refusals, superannuation, other exits etc. shall rank junior to the candidates who have been promoted in the first instance and the inter-se seniority amongst these candidates will be maintained in the same manner as in the former case.
- f) The panel shall be valid till the end of the Financial Year i.e. 31st March for which the promotion process has been held. The Managing Director and CEO, in its discretion may extend the validity of the panel keeping in view the exigencies.
- g) The candidature of promotion in respect of all such candidates who are reported to have resorted to unfair means in the written test and whose cases have been identified in the technical analysis of IBPS Mumbai as “Established beyond all reasonable doubts” shall be cancelled. Further, Bank will reserve the right to take appropriate disciplinary / administrative action against such officers as deemed fit.

18. COMMUNICATION OF MARKS:

Break up of aggregate marks scored by every candidate under various parameters i.e APAR, Written Test, Interview and Group Discussion, shall be uploaded in HRMS which will be accessible only to the concerned officer through ‘Employees’ Self Service’ in HRMS.

However, marks will not be uploaded in respect of those candidates whose cases are covered under Sealed Cover Procedure and whose cases have been identified as resorted to unfair means in the written test.

19. REVIEW OF PERFORMANCE OF PROMOTEE OFFICERS:-

It is expected from the promotee officers to perform as per the requirement of the higher cadre. The reporting authority will closely oversee the performance of the promotee officer, at least for a period of 6 months from the date of promotion and communicate to the concerned officer the weak areas, if any, so that the officer may improve to shoulder higher responsibility.

20. CONSEQUENCES OF REFUSAL TO ACCEPT PROMOTION/ SEEKING REVERSION:-

- i. An Officer who refuses to accept promotion/ seeks reversion after accepting promotion in the higher scale shall not be eligible for promotion in the next selection process.
- ii. Debar in case of refusal/ reversion under any channel will be applicable under both the channels of selection for promotion.
- iii. In addition to the above, the restrictions in release of increments at automatic switchover stage, PQP and stagnation increments, as circulated in HRD Division Circular No. 344 dated 20.09.2006 read with PAD Circular No. 175 dated 17.09.2013 shall apply, wherever applicable.

21. CONSEQUENCES ARISING OUT OF IMPOSITION OF PENALTY:

- i. There will not be any rigor or debar on account of imposition of minor penalty(ies). As such an officer who has been imposed minor penalty(ies) will be eligible to participate in the promotion process.
- ii. An officer who has been imposed major penalty, except the major penalty of reduction to a lower grade, will not be eligible for promotion for a period of one year from the date the major penalty was imposed.
- iii. An officer who has been imposed major penalty of reduction to a lower grade shall be considered for promotion only after completion of prescribed length of service, as prescribed for other candidates, from the date of order for reduction to lower grade or post.
- iv. The eligibility or otherwise, on account of imposition of major penalties referred to above, shall be reckoned as on 1st of April every year in which the vacancies arise for promotion.

- v. In case an officer is approved for promotion by the Competent Authority, but has been awarded minor penalty of 'withholding of promotion', the promotion will be released only after the expiry of the stipulated period for which the promotion has been withheld by the Disciplinary Authority.

22. SEALED COVER PROCEDURE

- (1) Officers who are otherwise eligible for promotion but are either:
- under suspension; or
 - in respect of whom a charge sheet has been issued and the disciplinary proceedings are pending; or
 - in respect of whom prosecution for criminal charge is pending. The judicial proceedings in case of criminal proceedings shall be deemed to be instituted on the date on which the complaint or report of a Police Officer, of which the Magistrate takes cognizance, is made; or

will be eligible for participating in the selection process but their result shall be kept in Sealed Cover.

- (2) Sealed cover procedure shall be followed as under:

- 2.1) An officer in whose case 'Sealed Cover Procedure' is attracted, the findings of the Interview Committee shall be recorded in respect of such officer in a separate Interview Evaluation Sheet, which shall be signed by all the members of the Interview Committee and the Interview Evaluation Sheet shall be kept in a Sealed Cover which shall be superscribed as.....

SEALED COVER FOR PROMOTION FROM SCALE ___ TO SCALE ___ - CHANNEL-___	
SELECTION NO. & YEAR	
WRITTEN TEST / INTERVIEW HELD ON	
NAME OF OFFICER	
PF A/C NO.	
DESIGNATION	
PLACE OF POSTING	
CIRCLE	
REASONS FOR SEALED COVER: (Details of pending DA Case/pending Criminal Case i.e. Date of Charge Sheet, Major/ Minor, Vigilance Reference No., Date of Suspension, Criminal Case No. with Date and Court where pending etc. be given)	

- 2.2) Under Merit/Fast Track Channel for promotion to MMG Scale II and III, the Score-sheet of those officers whose results attract sealed cover procedure as per the policy, will be kept under sealed

cover after recording the written test marks and marks obtained under other selection parameters in the score-sheet. Score-sheet will be duly authenticated by the AGM/Chief of HRMD Head Office, New Delhi.

- 2.3) In the main Interview Evaluation Sheet, the entry against the name of the officer falling under any of the above categories, shall be recorded as **'Interview Evaluation Sheet attached in sealed envelope.'** The Sealed Cover shall be kept under the custody of the Chief /AGM, of HRMD/ HRDD, Head Office, New Delhi.
- 2.4) The procedure outlined above, will be followed for the subsequent Selections also till the disciplinary / criminal proceeding against the officer concerned, is concluded.
- 2.5) **Opening of Sealed Cover:**
- a) As and when disciplinary or other proceedings instituted against such an officer are completed, resulting in his exoneration, the Sealed Cover(s) shall be opened one by one, in seriatim and after adding the marks obtained by him in various parameters, if his merit position falls above the cut-off point in the panel pertaining to any of the concerned Selections, his case shall be considered by the Competent Authority at Head Office to approve promotion and if finally approved for promotion, he shall be given notional promotion at par with officers of his seniority in the concerned Selection. However, he will not be entitled to receive any arrears on account of his notional promotion.
- b) If the proceedings culminate in imposition of any penalty (i.e. minor or major), the sealed cover shall not be opened and shall be cancelled. The debar period of one year in case of imposition of major penalty in sealed cover cases also shall be counted from the date of penalty.
- 2.6) **Deemed Sealed Cover Case:**
- a) In case an Officer participates in a promotion process and is approved for promotion but any penalty (i.e. minor or major) is imposed before actual release of promotion, the case will be treated as deemed sealed cover case and promotion will be cancelled.

- b) An officer in whose case any of the circumstances mentioned in Clause-22(1) supra above arises after being interviewed by the Interview Committee/ participating in the written test (as the case may be), but before being offered promotion/posted on promotion in accordance with the approval accorded by the Competent Authority for approving promotions, the case shall be treated as deemed sealed cover case. Release of promotion in such case shall be subject to outcome of the proceedings as on the date.
- 2.7) If suspension of an Officer whose result has been kept under sealed cover is revoked, the sealed cover shall be continued till the final decision of the staff side case, if any, on account of which he was placed under suspension. The case shall be dealt with in terms of para 22-2.5 above on final decision of the staff side case.
- 2.8) If an Officer whose result has been kept under sealed cover is acquitted on merit or by allowing benefit of doubt in the criminal proceedings but any disciplinary action case is pending in the matter, the sealed cover shall not be opened. The case shall be dealt with in terms of para 22-2.5 above on final decision of the disciplinary action case.

23. PERIODICAL REVIEW OF SEALED COVER CASES

- (1) Human Resource Management/ Human Resource Development Division at Head Office shall ensure that the disciplinary or criminal proceedings instituted against any officer are not unduly prolonged and all efforts to finalize expeditiously the proceedings should be made so that the need for keeping the case of an officer in a Sealed Cover is limited to the barest minimum. HRMD /HRDD should review comprehensively the cases of officers whose cases for promotion to a higher grade have been kept in a Sealed Cover on the expiry of six months from the date of conclusion of Selection process. Such review shall be placed before the Competent Authority who shall take decision as to continuance or otherwise of the Sealed Cover. The review shall continue until the case is finally decided. The review should, inter-alia, cover the progress made in the disciplinary / criminal proceedings and further measures to be taken to expedite their completion.
- (2) In spite of half yearly review referred to above, there may be some cases where the disciplinary / criminal proceedings against the officer are not concluded even after the expiry of 2 years from the date of completion of Selection process in which the result was

kept in Sealed Cover. In such a situation, the Competent Authority to approve promotion to higher grade may review the cases of an officer, provided he is not under suspension, to consider desirability of giving him provisional promotion keeping in view the following aspects:

- a) Whether the promotion of the officer will be against public interest;
 - b) Whether the charges are grave enough to warrant continued denial of promotion;
 - c) Whether there is any likelihood of the case coming to a conclusion in the near future;
 - d) Whether the delay in the finalization of the proceedings, departmental or in a court of law, is not directly or indirectly attributable to the officer concerned; and
 - e) Whether there is any likelihood of misuse of official position which the officer may occupy after provisional promotion which may adversely affect the conduct of the departmental case or criminal prosecution.
- (3) The authority concerned shall consult the Central Bureau of Investigation or the other prosecuting agency and take their views into account where the disciplinary proceedings or criminal proceedings arose out of the investigations conducted by the Bureau/ other prosecuting Agency.
- (4) In case the Competent Authority comes to the conclusion that it would not be against the public interest to allow provisional promotion to the officer concerned, his case may be considered in the normal course in the next Selection after the expiry of 2 years period to decide whether the officer is suitable for promotion on provisional basis. If the officer is considered for provisional promotion, the Competent Authority should make its assessment on the basis of the totality of the individual's record of service without taking into account the pending disciplinary / criminal proceedings against him.
- (5) After a decision is taken to promote the officer on provisional basis, the order of promotion may be issued making it clear in the order itself that:
- a) the promotion is being made on purely provisional basis and the provisional promotion will not confer any right for regular promotion; and
 - b) the promotion shall be "until further orders". It should also be indicated in the order that the bank reserves the right to cancel

the provisional promotion and revert the officer at any time to the post from which he was promoted.

- c) However, after provisional promotion, if the officer is exonerated in the departmental proceedings or acquitted in the criminal proceedings, he shall be treated in the same manner as if he was exonerated earlier and the procedure as indicated at para 22.2.5 shall be followed in his case.

- (6) In case if the officer concerned is not acquitted on merits in the criminal proceedings but purely on technical grounds and if the bank either proposes to take up the matter to higher court or to proceed against him departmentally or if the officer is not exonerated in the departmental proceedings, the provisional promotion granted to him will be cancelled and he shall be reverted to the post from which he was promoted on provisional basis.

24. APPEAL AGAINST NON SELECTION:

- i. In respect of promotion to SMG Scale V and above, there shall be no appeal against non selection. However, an officer who has not been approved for promotion may make a representation to the following Committee within a period of 3 months from the date on which the promotion was announced:-

Selection	Committee
Promotion from SMG IV to SMG V	Managing Director & CEO and 2 EDs out of which one ED should be the incharge of HRMD/HRDD (Managing Director & CEO to nominate Executive Directors on the Committee)
Promotion from SMG V to TEG VI	
Promotion from TEG VI to TEG VII	Managing Director & CEO, Govt. Director & RBI's nominee Director

The Committee shall consider such representations as soon as they are received preferably within six months from the receipt of the representation.

The decision of the Committee shall be final. In case of acceptance of representation, promotion will be considered from the prospective date and not from back date.

- ii. In respect of promotions upto SMG Scale IV, an officer who has not been approved for promotion under a channel having parameter of Interview, may submit appeal only through online mode in HRMS to the Executive Director, Incharge of HRDD/HRMD, within 45 days from the date of declaration of the result. No offline appeal against non selection shall be entertained.

- iii. On receipt of online appeal, the Appellate Authority shall constitute a 3 member Committee, which shall not be below the rank of the Interview Committee, to process the appeal. The processing committee, so constituted, if necessary, may call the appellant for a personal hearing. The processing committee will submit its recommendations to the Appellate Authority.
- iv. The appeals shall be decided preferably within a period of three months from the last date of receipt. The decision of the Appellate Authority in respect of the appeal will be final and there shall be no review of the decision.
- v. An Officer approved for promotion to the grade / scale on appeal may be fitted in that grade / scale with effect from the notional date of placement of that batch in which he was approved. However, such officer will not be entitled to receive any arrears on account of his notional promotion.
- vi. There shall not be any appeal against non selection to MMG Scale II and III under Merit/Fast Track Channel involving the parameter of written test only. However, in case of non selection, the candidates under this channel may submit their representation through proper channel for re-verification of marks obtained under various selection parameters within 30 days of the date of declaration of the result.
- vii. The re-verification status will be informed to the candidates through proper channel within a maximum period of 03 months from the date of receipt of such representation.

PART – B:

Policy for Core Technical stream officers

1. SCOPE AND APPLICABILITY:

This part of the Promotion Policy shall be applicable to the '**Core Technical Stream Officer**' which means an officer appointed or promoted in the stream of Information Technology including Information Technology- Banking Domain and Data Analyst, Human Resource (HR), Security, Law, Rajbhasha, Economic, Printing Technology, Engineering (Civil/Mechanical/Electrical), Architect, Fire safety for utilization of his services in areas requiring certain technical skills or specialized experience. It will also include officer selected through an internal selection process of the Bank for posting in Risk Management and Treasury Divisions and who have executed a bond to serve the Bank for the period specified.

MD & CEO may add or delete any other stream/area of specialization to be covered under Core Technical Stream, having regard to the Bank's requirement.

2. CAREER PATH:

The Core Technical stream Officers shall be allowed career progression upto SMG Scale-V in their respective vertical/field of specialization.

3. SENIORITY:

Inter-se seniority of the Core Technical stream Officers shall remain the same as in the common seniority list of Officers in their respective scale being prepared and displayed by the Bank.

4. VACANCIES:

Bank shall identify every year the number of vacancies in the respective Core Technical vertical in various scales (MMG Scale-II & III and SMG Scale-IV & V) to be filled by promotions of Core Technical stream Officers.

5. SELECTION PROCESS:

The promotion from one scale to another against the identified vacancies shall be filled up through Merit/ Fast Track Channel on all India merit basis.

6. ELIGIBILITY AND CHANNEL OF PROMOTION:

SCALE/ GRADE	CHANNEL	ELIGIBILITY
JMG Scale-I to MMG Scale-II	Merit /Fast Track Channel	3 years of service in JMG Scale-I
MMG Scale-II to MMG Scale-III	Merit /Fast Track Channel	3 years of service in MMG Scale-II
MMG Scale-III to SMG Scale-IV	Merit	3 years of service in MMG Scale-III
SMG Scale-IV to SMG Scale-V	Merit	3 years of service in SMG Scale-IV and total length of service of 12 years

7. SELECTION PARAMETERS:

SCALE/ GRADE	PERFORMANCE	WRITTEN TEST	INTERVIEW	TOTAL
JMG Scale-I to MMG Scale-II	50	25	25	100
MMG Scale-II to MMG Scale-III	50	25	25	100
MMG Scale-III to SMG Scale-IV	50	25	25	100
SMG Scale-IV to SMG Scale-V	50	25	25	100

- Written test will be comprising of one paper containing 50 questions of specialized domain and 50 questions on General Banking. Duration of the Test shall be 90 minutes.
- Minimum qualifying marks in written test as well as in interview shall be 30% for SC/ST candidates and 40% for other category candidates in case of promotion from JMG Scale-I to MMG Scale-II and MMG Scale-II to MMG Scale-III. The minimum qualifying marks in written test as well as in interview for promotion from MMG Scale-III to SMG Scale-IV and SMG Scale-IV to SMG Scale-V shall be 40% for all candidates.
- Final merit list of the candidates obtaining minimum qualifying marks in written test and interview shall be prepared on the basis of aggregate marks and the candidates to the extent of number of vacancies shall be considered for promotion.

8. SWITCH OVER OF CORE TECHNICAL STREAM OFFICERS TO MAINSTREAM:

- All officers in the identified Core Technical streams as on the date of implementation of this policy will be given option to choose if they wish to remain in the respective Core Technical stream or to join mainstream. The option once exercised shall be irrevocable. Besides, Bank also reserves the right to convert any Core Technical stream officer to mainstream, based on performance, after completion of 5 years in core technical stream. Competent Authority for allowing such conversion shall be Executive Director, Incharge of HRDD/HRMD and decision in this regard shall be taken, on case to case basis, on the recommendation of owner Division.
- Candidates opting to remain in respective Core Technical streams shall only be considered for promotion against the positions identified in higher cadre in the respective core technical streams.
- On promotion from SMG Scale-V to TEG Scale-VI the services of Core Technical stream officers shall be utilized by the Bank, as per Bank's requirement.
- Core Technical stream Officers joining in these streams on or after 01.04.2017 will not have option to join mainstream of banking. They will be considered for promotion against the vacancies in higher cadre identified by the Bank in their respective core technical streams.
- Core technical stream candidates opting to join mainstream in the above process shall be treated as mainstream officers immediately or on completion of 5 years in technical stream, whichever occurs later. They will be provided on the job training as per extant provisions. Bank however reserves right to utilize their services in mainstream or in their core stream positions, as per requirement.
- Any decision on operational issues of Part B of the Promotion Policy shall be taken by MD & CEO.

9. OTHER PROVISIONS:

- Core technical stream officers shall be exempted from rural/ semi urban posting on promotion to MMG Scale II /III and from requirement of incumbency experience for being eligible for promotion from SMG Scale IV to V.

- Transfer of officers in Core Technical streams (administrative or on request) shall be effected against the positions identified in their respective verticals and against sanctioned vacancies only.

- All other provisions of the Promotion Policy with regard to weightage of APARs, relaxation in eligibility criteria, reservations/relaxations to SC/ST category candidates, constitution of interview committee, competent authority to approve promotions, sealed cover procedure, consequences arising out of imposition of penalty, consequences of refusal to accept promotion/ seeking reversion, appeal procedure etc., as detailed in Part A above, shall be applicable on Core Technical stream candidates also.
