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NALCO TRANSFER POLICY

Ref.No. CHRD/RR/0014.0/ 3586 /2007	Date: 18.10.2007
Title	NALCO TRANSFER POLICY
Approved by	Board Meeting held on 31.08.2007
Effective Date	31.08.2007

1.15.1.0 **OBJECTIVE**

- (i) To ensure optimum utilization of manpower & their skill.
- (ii) To accomplish specific task/ objectives with the available resources.
- (iii) To cater to developmental needs of the employees as well as changing need of the organization.

1.15.2.0 **CONSIDERATIONS**

The transfer of employees from one Unit/Office to another Unit/Office becomes necessary to meet the organizational needs as well as employee developmental and personal needs. The various considerations could broadly be classified as under:-

- (i) Organizational requirement, optimum utilization of manpower and exigencies of company's work.
- (ii) Administrative grounds and/or effective deployment of manpower.
- (iii) Career development of employees through job rotation for acquiring multi-skill.
- (iv) Pressing personal problem of the employee to be taken into account to the extent possible.
- (v) Specialized knowledge and experience required for a particular position in other Unit.
- (vi) Sanction vis-à-vis position of manpower will be taken into account for inter and intra unit transfers.
- (vii) Requirement of transfer of an employee from one Unit to another Unit will be examined centrally at Corporate Office keeping in view the skill and expertise of the incumbent and transfers will be made subject to vacancy, requirement and in general the consent of concerned Unit Heads excepting the cases of urgent/ sensitive in nature/organisational requirement/administrative grounds for optimum utilisation.

- (viii) Employees (other than specialists/where special skills are required) may generally be considered for job rotation/transfer after they have spent a period of 5 years at one location/job, except in case of Company's exigencies.
 - a) The total time limit for an Officer at a particular station during the entire career shall not exceed 20 years.
 - b) An executive having Degree or Diploma in Chemical Engineering and is in the centralized cadre of Chemical Engineering and working in Alumina Refinery may work in the Alumina Refinery at a stretch for a period of 20 years or till he reaches E7 grade whichever is later. Similarly, an executive having Degree or Diploma in Metallurgical Engineering and is in the centralized cadre of Metallurgical Engineering and working in Smelter Plant may work in the Smelter Plant at a stretch for a period of 20 years or till he reaches E7 grade whichever is later. An executive having Degree/Diploma in Mining / Geology and is in the centralized cadre of Mining/Geology and working in Mines may work in Mines at a stretch for a period of 20 years or till he reaches E7 grade whichever is later.
 - c) The NALCO Transfer Policy may not be applied to in the area of Company Secretariat.
- (ix) Supervisory employees on their promotion/selection to executive cadre will be transferred to other locations for self development, better exposure and to have effective supervision & administrative control.
- (x) To the extent possible, efforts may be made to ensure that husband and wife, if both are working in NALCO or one of them is in any other Govt. Service/ PSUs, are accommodated in the same location subject to organizational requirement. In such cases however the organizational requirement would be of prime consideration.
- (xi) The request of the employees for transfer on medical ground will be examined on case to case basis by a duly constituted Medical Board and decisions will be taken based on the gravity of the case, recommendation of Medical Board & availability of vacancy etc.
- (xii) In case of request of an employee for transfer to a particular Unit/Office, the same may be considered on merit, keeping in view the requirement, etc. However, an employee can be considered for transfer on personal request, if the situation so warrants, without insisting on the number of years to stay at one location. In such cases, no transfer benefits will be admissible.
- (xiii) The transfers shall generally be done during the month of March & April or along with orders of promotion, except under such circumstances where company's exigencies may so warrant/ organisational requirement/administrative grounds for optimum utilisation.

- (xiv) An employee who has been left with 2 years of services for superannuation may be considered for posting of his own choice subject to vacancy and suitability.
- (xv) The management, however, reserves the right to make transfers on administrative grounds.

1.15.3.0 **ROTATION OF SENSITIVE POSTS**

There will be rotation of employees working in sensitive posts as per CVC guidelines. List of posts identified as sensitive and circulated on 01.06.2005 for information is enclosed at **Annexure-'A'**

1.15.8.0 **OUTSIDE INFLUENCE**

An employee who brings in outside influence, either orally or in writing in respect of his transfer in violation of Rule 20 of NALCO Conduct, Discipline & Appeal Rules, the management will take action as envisaged in Circular No. CHRD/RR/004.6/1869/2004, dated: 14.05.2004 (**Annexure-'B'**) & Circular No. CHRD/RR/004.6/2654/2017, dated: 07.11.2017(**Annexure –'C'**)

- (i) When an employee resorts to use of outside influence for the first time he may be advised in writing by the HOD concerned in consultation with the Head of HRD Department. A copy of the advice should be placed in the appraisal dossiers of the employee concerned.
- (ii) If the employee repeats the instances for a second time despite issue of advice, a strict caution letter should be issued to him under the signature of General Manager concerned. A copy of the caution letter should be placed in his appraisal dossiers.
- (iii) Where the employee still resorts to use of outside influence despite issue of advice and caution letter, appropriate disciplinary action should be initiated against him under rules.

1.15.5.0 **PROCEDURES**

The following procedures will be followed while effecting transfers.

- (i) All types of transfers/job rotations and related issues will only be handled by the concerned HRD Department.
- (ii) The transfer/job rotations in general will be made in consultation with the concerned Unit Heads/Functional Heads.

- (iii) All employees in respect of whom orders of transfer are issued will be released promptly within 15 days from the date of issue of order failing which the employee will automatically stand released. The concerned employee will draw wages only from the new place of posting after expiry of 15 days from the date of issue of transfer order.

1.15.6.0 **COMPETENT AUTHORITY**

The Competent Authority for transfer is as per Delegation of Powers (DOP):

1.15.7.0 **TRANSFER BENEFITS**

The following transfer benefits will be admissible to employees transferred from one location to another in the interest of the organization.

- (i) Journey expenses for self and dependants.
- (ii) Transportation expenses of personal effects.
- (iii) Packing charge.
- (iv) Transit Leave
- (v) Settling-in-allowance.

#1.15.7.0[A]

The transferred employees can retain the family at the old posting only on the ground of children's education till the completion of their current academic session with the approval of Approving Authority and in no case; such retention will be granted beyond one year.

The Approving Authorities are as below:

Category	Approving Authority
Non Executives & Executives (up to E6 level) of units	GM(H&A) of the complex
Non Executives & Executives (up to E6) level) (other than units)	GM(H&A) –Corporate Office
Executives (E7 & above level) of units	ED of the complex
Executives (E7 & above level) - other than units	Executive Director(H&A)/ Director (HR)

In such cases, the following facilities are extended at old posting:

1. Medical benefits of the dependants.
2. Education facilities of the children in company aided schools.

3. Company Quarters at standard rent or HRA as applicable at old posting, if drawing at the time of the transfer.
4. Any kind of over stay or retention of accommodation beyond the approved period, shall deprive the employee from all the benefits attached to it. Penal rents/withdrawal of HRA of old posting shall be made applicable accordingly.

1.15.7.0[B]

Such transferred employees as mentioned at point 1.15.7.0(A) can avail any of the following facilities at new posting.

- (i) Company accommodation below or on par with the entitlement, subject to availability at double the standard rent.
- (ii) Guest house/transit house/semi-furnished accommodation, subject to availability and rates as per the extant rules of the company.
- (iii) The employee can arrange for own accommodation only after obtaining prior permission from the Management subject to submission of 'Non Availability Certificate' with respect to (i) & (ii). Only in such cases the employee shall be reimbursed the rent paid on submission of rent receipts/self declaration (as applicable) limited to 8% of basic pay.

1.15.7.0(C)

In case the employee is not retaining accommodation or availing benefit as per para 1.15.7.0(A) and avails guest house/transit house/semi-furnished accommodation, the employee will be paid HRA or the rent paid for guest house/transit house/semi-furnished accommodation, whichever is lower.

1.15.7.0[D]

In case of temporary transfer not exceeding 180 days, the employee would be eligible for self TA only. He shall be paid full DA for all working days. The employee shall be eligible for the accommodations as spelt at 1.15.7.0(B). In the event, the employee vacates the company quarter or does not avail HRA at old station, he will be given company quarter as per the entitlement, availability and seniority at new posting or HRA at the rate applicable for new place of posting. Subsequently, if the temporary transfer exceeds 180 days, the employee shall be paid 50% of DA for the additional

days. The company accommodation/HRA facilities being provided shall



remain unchanged. Temporary transfer in no case would exceed one year.

1.15.7.0[E]

All benefits associated with transfer or temporary transfer shall not be extended to employees who are transferred on their personal request.

1.15.8.0

The powers to review, modify / amend the provisions of the above scheme shall vest with the **Chairman-cum-Managing Director**.

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Amendments:

- Vide Circular No. CHRD/RR/14.0/775/2018 dtd 23.03.2018

C I R C U L A R

SUB: ROTATION OF STAFF / OFFICERS IN SENSITIVE AREAS.

As per the instructions issued by the Central Vigilance Commission, Govt. of India as a preventive measure, rotation of Staff/Officers working in sensitive posts is to be ensured in every three years and compliance report to that effect furnished to the Commission. The posts identified and declared to be sensitive in different Units/Offices of the Company have been notified by the Corporate Vigilance Department vide IOM No. B/01/0148/11, dated: 09.01.2001 and the same are indicated at Annexure – ‘A’. However, in spite of emphasizing the need time and again by the Corporate Vigilance Department and in the CMD’s Monthly review meetings for vigorously following the instructions, some of the departments have not effected the periodic shifting of employees in the sensitive areas.

In order to ensure rotation of Staff/Officers in sensitive posts every three years, it has now been decided that with immediate effect, the following will be job rotation policy for sensitive posts:

- (a) One third of employees who have completed more than three years in the identified sensitive posts, on the basis of length of their service therein, may be transferred from these sensitive posts so that in a period of three years, the entire set of employees working in these sensitive posts, for more than three years are replaced in a phased manner.
- (b) A minimum gap of three years be observed for reposting an employee back to the sensitive post.
- (c) In departments where rotation outside the department is not feasible, like purchase, finance etc., the job rotation of employees will be done within the department concerned.

The policy shall cover all employees both executive and non-executive working in identified and declared sensitive Posts/ Department.

All concerned Executive Directors and General Managers are requested to take suitable steps to give effect to the above for rotation of employees in sensitive posts. Regular feedback on implementation is to be furnished to the Corporate Vigilance Department by the respective heads of HRD Department and Regional Managers in respect of their Units/Offices during the first week of every month for the preceding month as per the following. In case there is no rotation in particular month even then a NIL report is to be furnished to the Vigilance Department in order that Vigilance Department is in a position to furnish a monthly return to the Commission and to the Ministry on the subject.

1. Whether plan of rotation of staff of sensitive areas has been drawn up.
2. No. of staff working on same post/ in the same division for more than 3 years.
3. No. of staff transferred during the year out of column 2 in pursuance of plan draw up for rotation of staff.
4. Reason for non-implementation of plan for rotation of staff.

All concerned EDs/GMs are also requested to point out various posts which need to be considered for addition/deletion with appropriate justification under the list of Sensitive Posts declared as on date and intimate the same to CVO for appropriate action on the subject.

This issues with the approval of the competent authority.

-Sd/-

(A. Mahapatra)
Executive Director (H&A)

<u>SENSITIVE POSTS AT S&P COMPLEX ANUGUL</u>		
Sl. No.	Posts	Deptt.
1.	Mgrs./Officers(H&A)/ In-charges of Contract Labour Cell. Mgrs./Officers(H&A).,In-charges of Canteens. Mgrs./Officers-I/c-Law	HRD
2.	Mgrs./Officers(Admn.)/ In-charges of Guest House. Mgrs./Officers(Admn.)/ In-charges and Dealing Assts. Of Transport Pool.	ADMN.
3.	Jr. Accountants/ Accountants entrusted with processing of bills. 2. Officers-In-charges of Time Office	Finance
4.	Managers/Officers(Matls.)In charges of purchase. Managers/Officers in-charges of Stores Dealing Assistants to above Mgrs./Officers. Mgrs./Officers In-charges of (Matls.)(Projects) Custodians/Dealing Storekeepers of various Spares/Stores. Mgrs./Officers In-charges of raw-materials. Operators/Dealing Assts. In-charges of Weighbridges. Operators/Dealing Assts. In-charges(Diesel/POL both) Mgrs./Officers in charges(Scraps&Salwages)	Materials

<u>SENSITIVE POSTS AT M&R COMPLEX, DAMANJODI</u>		
Sl. No.	Posts	Deptt.
1.	Mgrs./Officers(H&A)/ In-charges of Contract Labour Cell. Mgrs./Officers-I/c-Law Mgrs./Officers(H&A).,In-charges of Canteens.	HRD
2.	Mgrs./Officers(Admn.)/ In-charges of Guest House. Mgrs./Officers(Admn.)/ In-charges and Dealing Assts. Of Transport Pool.	ADMN.
3.	Jr. Accountants/ Accountants entrusted with processing of bills. 2. Officers-In-charges of Time Office	Finance
4.	Managers/Officers(Matls.)In charges of purchase & Stores. Dealing Assts./Exe.Assts. to above Managers/Officers. Custodians/Dealing Storekeepers of various Spares/Stores. Operators/Dealing Assts. In-charges of Weighbridges. Operators/Dealing Assts. In-charges(Diesel/POL both) Mgrs./Officers in charges(Scraps&Salwages)	Matls.

N.B: Mgrs.- includes executives/Managers from E0 to E6 level dealing or in charge of activity as mentioned.

5.	Mgrs./Officers-in charges(Despatch)	Despatch	5.	Mgrs./Engrs./ in charge of Township Civil Maintenance Suprs./Foreman(Civil) in charges of Civil maint.as well as Constn.works in Township. Suprs./Foreman(Civil)in charges of Civil Maint. in Plant. Suprs./Foreman(Civil)in-charges of Sanitation and Sewerage system at Plant Township.	Civil
6.	Mgrs./Suprs./Foreman in charge of Township Civil Maintenance. Suprs./Foreman in charges of Civil maint.as well as Constn.works in Township. Suprs./Foreman(Civil)in charges of Civil Maint. In Plant. Suprs./Foreman(Civil)in-charges of Sanitation and Sewerage system.	Civil	6.	Mgrs./Engrs.in-charges of Contract & Plg Mgrs./Engrs.(Elect.)in-charges of Township Maintenance. Mgrs./Engrs. In-charges to raise indents for electrical Items. Mgrs./Engrs.(Elects.) looking after annual Elect. maint. works of A/Cs & Coolers inside the plant and executing various contracts.	Contract Cell
7.	Mgrs./Engrs.in-charges of Contract & Plg	Contract Cell	7.	Mgrs./Engrs. In-charges of C&I entrusted to raise indents & execution of contracts.	C&I
8.	Mgrs./Engrs.(Elect.)in-charges of Township Maint. Mgrs./Engrs. In-charges entrusted to raise indents for electl. Items. Mgrs./Engrs.(Elects.)in-charges looking after annual maint. of A/Cs & Coolers inside the plant.	Electrical	8.	Mgrs./Engrs. In-charges & Suprs./Foreman in- charges of various contract execution.	Plant Operati on

N.B: Mgrs.- includes executives/Managers from E0 to E6 level dealing or in charge of activity as mentioned.

9.	Mgrs./Engrs./Suprs./ Foreman in- charges of execution of various contracts.	Operation	9.	Mgrs./Engrs. In- charges & Suprs./Foreman in- charges of various contract execution.	Plant Maint.
10.	Mgrs./Engrs. In- charges of various contract	Plant Maint.	10.	Mgrs./Engrs. In- charges of Mobile Equipment Shop.	Mobile Equipmen t Shop
11.	Mgrs./Engrs./In-charges of Mobile Equipment Shop.	Mobile Equipmen t Shop, SML	11.	Pharmacists in-charges of medicine Store	Nalco Hospital
12.	Mgrs./Engrs. In-charges	Instrument Central Repair Lab. SML	12.	Mgrs.(Lab)/Engrs. In- charges of Lab.	R&D
13.	Pharmacists in-charges of medicine Store	Nalco Hospital	13.	Mgrs./Engrs.(Mech.)I n-charges of Vehicles repairing shop. Mgrs./Engrs.(Mech.)I n-charges of Rail System. Suprs./Foreman(Mech .) in- charges of different areas of Al.Plant executing contracts. (I.e.01 to 09/10)	Mechanica l

N.B: Mgrs.- includes executives/Managers from E0 to E6 level dealing or in charge of activity as mentioned.

SENSITIVE POSTS AT CORPORATE OFFICE, BHUBANESWAR.

Sl. No.	Posts	Department
1.	CM(HRD)/Mgrs. I/c, Trg. Mgrs./Officers-I/c-Law CM(HRD)/Mgrs. I/c, Rectt.	HRD
2.	Mgrs. (Admn.) I/c-Guest House. Mgrs./Officers in-charge of PR dealing with advertisements. Mgrs./Officers in-charge and the dealing Assts. Of Transport Pool.	Administration
3.	Jr. Accts./Accts. Entrusted with processing of bills Cashier	Finance
4.	DGMs (Matl.) Purchase. Mgrs. I/c. (Purchase) Imports. Mgrs.I/c (Purchase) Local/indigenous	Materials
5.	DGM(Mktg) I/c. Export. Mgrs.(Mktg.)I/c. Exports DGM(Mktg.)I/c.- Domestic Mgrs.- Domestic./Mgrs.(Mktg.) (Finance).	Marketing
6.	DGM(Projt.)I/c. Technological DGM(Project)I/c Civil/Electrical/Mechanical	Projects
7.	Mgrs./Officers I/c. Civil(Corp. Office & Township Maint.) Supr.I/c (Civil & Elect.) Township Maint. Supr.I/c. (Electrical) Corp. Office	Maintenance/ Service

N.B: Mgrs.- includes executives/Managers from E0 to E6 level dealing or in charge of activity as mentioned.

C I R C U L A R

SUB: Use of outside influence by the employees for sponsoring their individual cases.

A circular No: CPD/RR/004.6/5499(22)/85, dated: 06.09.1985 has been issued as regards actions to be taken in cases where the employees resort to use of outside influence to further their interest in relation to matters pertaining to their service in the company.

Rule-20 of NALCO CDA Rules, 1984 provides that no employee shall bring or attempt to bring any outside influence on any superior authority to further his interest in relation to matters pertaining to his service in the Company. When such instances come to the notice of Unit/Office Heads, the following action should be taken:

- 1) When an employee resorts to use of outside influence for the first time he may be advised in writing by the HOD concerned in consultation with the Head of HRD Department. A copy of the advice should be placed in the appraisal dossier of the employee concerned.
- 2) If the employee repeats the instances for a second time despite issue of advice, a strict caution letter should be issued to him under the signature of General Manager concerned. A copy of caution letter should be placed in his appraisal dossier.
- 3) Where the employee still resorts to use of outside influence despite issue of advice and caution letter appropriate disciplinary action should be initiated against him under rules.

All cases where the employees have resorted to use of outside influence should be recorded in a register in the following proforma.

Sl. No.	Name of the employee/Personal No./Designation	Name of the MP/MLA/VIP	Purpose for which influence brought	Action taken

The register should be kept with the heads of HRD Department concerned. A quarterly report in the same proforma as per register should be sent to Corporate HRD Deptt. so as to reach within 10th day of the following quarter.

It is reiterated that in all cases where the employees are resorting to outside influence, action may be taken and quarterly report as per the proforma furnished to the undersigned so as to reach within the stipulated time as indicated above.

This issues with the approval of the competent authority.

-Sd/-

(A. Mahapatra)
General Manager(HRD)

CIRCULAR

Sub: Use of outside influence by the employees for sponsoring their individual cases

As per Rule 20 of the NALCO CDA rules, no employee shall bring or attempt to bring any outside influence to bear upon any superior authority to further his/her interest in respect of matters pertaining to his service in the company.

Any employee observed to be resorting to use outside influence in the matters pertaining to his/her service interest in the company; the following action will be initiated;

- a) Wherever any communication received indicating use of outside influence, he/she will be automatically issued with a letter of caution through system driven procedure and copy of the same will be placed in the appraisal dossier and personal file of the employee concerned, which will be taken into consideration at the time of performance assessment, probation assessment and at the time of DPC.
- b) In case, the use of external influence is repeated, even after the employee has been issued letter of caution twice, appropriate disciplinary action would be initiated against him/her under the CDA rules.

This issues with the approval of the Competent Authority.

Sd/-
(S K Mishra)
General Manager(H&A)

Distribution:

1. All Executives (through mail)
2. All EDs/GMs/RMs
3. Policy file.
4. All Notice Board

For kind information of:

1. D(F)/D(P)/D(HR)/D(P&T)/CVO.
2. TS to CMDfor kind information of CMD