

यूनियन बैंक
ऑफ इंडिया



Union Bank
of India

कार्मिक विभाग, केंद्रीय कार्यालय

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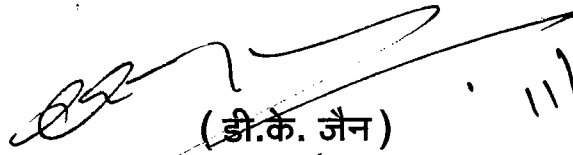
स्टाफ परिपत्र क्रमांक: 5839

दिनांक: 11 अप्रैल, 2012.

प्रति: सभी शाखाएं/कार्यालय
To: ALL BRANCHES/OFFICES

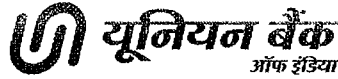
विषय : अधिकारियों के लिए संशोधित पदोन्नति नीति.
Revised Promotion Policy for Officers

<p>दिनांक 27.03.2012 को आयोजित बैठक में बोर्ड निदेशकों ने भारत सरकार के दिशा-निर्देशों को ध्यान में रखकर अधिकारियों के लिए पदोन्नति नीति में संशोधन किया है. यह संशोधन 27.03.2012 से लागू होगा. इसकी जानकारी परिशिष्ट में दी गयी है.</p> <p>सभी से अनुरोध है कि उक्त को सावधानीपूर्वक नोट करें.</p>	<p>The Board of Directors in its meeting held on 27.03.2012 has revised Promotion Policy for Officers in keeping with the Government guidelines. The said revision has come into effect from 27.03.2012. The same is depicted in the Annexure.</p> <p>All are requested to take careful note of the above.</p>
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(डी.के. जैन)
महा प्रबंधक (का एवं मासं.)
11/4/2012



संलग्न : यथोक्त.



Annexure to Staff Circular No. 5839 dated 11th April, 2012

UNION BANK OF INDIA

HUMAN RESOURCE DEPARTMENT, CENTRAL OFFICE

REVISED PROMOTION POLICY FOR OFFICERS

P R E A M B L E

The Bank has received guidelines dated 05.12.2011 and 13.03.2012 from Government of India regarding Promotion in public sector banks. Accordingly, discussions were held with All India Union Bank Officers' Federation to review the existing Promotion Policy for Officers. Keeping in view the guidelines received from the Govt. of India as also the aspirations of the Officers of the Bank for career progression in the Organisation, a Board Note was placed in the Board Meeting held on 27.03.2012 and the same has been duly approved by the Board. Accordingly, the revised Promotion Policy is agreed upon / formulated under Regulation 17 of the Union Bank of India (Officers') Service Regulations, 1979, in supersession of the existing Promotion Policy for promotion of officers from one Grade/Scale to another. This Policy will be subject to the Government guidelines from time to time.

The object of the Policy is to provide opportunities to the Officers to advance their career in the Bank in a way that will help them achieve professional growth vis-a-vis Bank's business goals. This will also ensure that processes are in place such that all career related processes are carried out consistently in a fair and transparent manner.

Merit will be the determining factor for promotion which will be assessed through the Written Test/Group Discussion/Annual Performance Appraisal Reports. The potential to shoulder higher responsibilities and functions will be assessed through Interview and Group Discussion.

This Policy is effective from 27.03.2012 and promotion of Officers from one Grade/Scale to another thereafter will be governed as per this Policy.

CHAPTER I

GENERAL

- 1.1 Vacancies in the respective Grades/Scales shall be identified and circulated every year, covering the period from 1st April to 31st March, of the same financial year. The identification of vacancies would take into account the wastages, new activities, etc. for the whole year. The promotion process will be conducted and finalised as far as possible, by the end of the financial year, to fill up the identified vacancies, if any, on all India basis.

COMMON CUT-OFF DATE

Common cut off date for determining eligibility as well as completed years of service will be as on 1st of April of the financial year (April-March) in which the vacancies arise.

Common cut-off date will be taken into account for reckoning the minimum length of satisfactory service prescribed for promotion from one Grade/Scale to another, for determining weightages for various promotional parameters, deciding the eligibility of officers for participation in the promotion process with reference to the rigor of penalty imposed upon him/Court verdict etc.

- 1.2 There shall be a two channeled system of promotion of Officers from JMGS-I to MMGS-II, MMGS-II to MMGS-III as follows:

Normal Track

- To fill up 80% of vacancies identified.

Fast Track

- To fill up the remaining 20% of vacancies identified.

N.B.

- In case all the vacancies under Fast Track Channel are not filled up due to non-availability of candidates with requisite qualifications/marks, such vacancies may be filled up through Normal Track Channel.

1.3 ELIGIBILITY

(a) Promotion from JMGS-I to MMGS-II

- For promotion from JMGS-I to MMGS-II, 2 years continuous Rural service is mandatory.



Normal Track

- 5 years of satisfactory service in JMGS-I, including two years continuous Rural Branch Service as an Officer.
 - Provided that the Officer who has put in more than the aforesaid required service in rural area, will get an advantage of further relaxation of 50% of weightage in minimum experience, for each additional completed year of service.

Fast Track

- 3 years of satisfactory service in JMGS-I including two years continuous Rural Branch Service as an Officer.
- 75% marks in APAR for each of the year of service eligible for promotion.

N.B

- The service rendered by an Officer in a rural branch only shall be considered as rural service and service rendered by him/her while on deputation to Regional Rural Bank/DIC, Gramodyog Kendra or any other Office located in a rural area shall not be considered as rural posting.
- Rural service incentive is applicable in case of promotion in General banking side only

Promotion from MMGS-II to MMGS-III

- For promotion from MMGS-II to MMGS-III, 3 years service in Rural or Semi Urban areas is mandatory, which includes two years Rural Service in JMGS-I.

Normal Track

- 5 years of satisfactory service in MMGS-II including 3 years service in rural/semi urban area, which includes 2 years rural service in JMGS-I.
 - Provided that the officer who has put in more than aforesaid required service in rural area, will get an advantage of further relaxation of 50% of weightage in minimum experience, for each additional completed year of service.



Fast Track

- 3 years of satisfactory service in MMGS-II.
- 3 years service in rural/semi urban area, which includes 2 years rural service in JMGS-I.
- 75% marks in APAR for each of the year of service eligible for promotion.

N.B.

- The service rendered by an Officer in a rural branch only shall be considered as rural service and service rendered by him/her while on deputation to Regional Rural Bank/DIC, Gramodyog Kendra or any other Office located in a rural area shall not be considered as rural posting.
- Rural service incentive is applicable in case of promotion in General banking side only

(c) Promotion from MMGS-III to SMGS-IV (only Fast/Merit channel)

- 3 years of satisfactory service in MMGS-III.
- It will be mandatory to pass an examination to test for Computer literacy and Computer knowledge.
- 75% marks in APAR for each of the year of service eligible for promotion.

(d) Promotion from SMGS-IV to SMGS-V (only Merit channel)

- 3 years of satisfactory service in SMGS IV.
- It will be mandatory to pass an examination to test for Computer literacy and Computer knowledge.
- The candidate should have been a Branch Head for at least 3 years.
- Candidate should have put in 12 years of service in Officer Cadre in the Bank;
- 75% marks in APAR for each of the year of service eligible for promotion.



Note: However, the following relaxation will be permitted in respect of 3 years criteria of being Branch Head in the ensuing Promotion Processes:

For the Promotion Year	Relaxation permitted
2011-12 and 2012-13	3 years
2013-14	2 years 3 months
2014-15	1 year 3 months
2015-16	3 months

(e) Promotion from SMGS-V to TEGS-VI (only Merit channel)

- 3 years of satisfactory service in SMGS-V.
- Candidate should have put in 15 years of service in Officer Cadre in the Bank.
- 75% marks in APAR for each of the year of service eligible for promotion.

(f) Promotion from TEGS-VI to TEGS-VII (only Merit channel)

- 3 years of satisfactory service in TEGS-VI.
- Candidate should have put in 18 years of service in Officer Cadre in the Bank.
- The Executive should have experience as Regional Head/Zonal Head or must have worked in Scale III to V, in Regional/Zonal/FGM Office for two years.
- 75% marks in APAR for each of the year of service eligible for promotion.

Note:

- The experience as Chairman of RRB would be treated as equivalent to the experience as Regional Head/Zonal Head.
- The following relaxation will be permitted in respect of experience as Regional Head/Zonal Head or having worked in Scale III to V in Regional Office/Zonal Office/FGM's Office for 2 years:

For the Promotion Year	Relaxation permitted
2011-12 and 2012-13	2 years
2013-14	1 year 3 months
2014-15	3 months
2015-16	Nil

- 1.4 The eligibility criteria in terms of minimum years of service as spelt out in this Policy can be relaxed only with the prior approval of the Board of Directors, in case the number of eligible Officers is less than 3 times the number of posts in the next higher Grade/Scale.

However, the maximum permissible extent to which such relaxation may be granted will be as follows:

Sr. No.	Scale	Promotion Channel	Minimum Experience required (in years)	Maximum permissible relaxation by Board (in years)	Minimum length of service.
1	I to II	Normal/Seniority	5	1	NA
		Merit/Fast	3	1	NA
2	II to III	Normal/Seniority	5	1	NA
		Merit/Fast	3	1	NA
3	III to IV	Merit/Fast	3	1	NA
4	IV to V	Merit	3	1	12
5	V to VI	Merit	3	1	15
6	VI to VII	Merit	3	1	18

In case the Specialist Officer joins at a Scale higher than Scale-I, the minimum service requirement would be reckoned from the level at which they enter the service. For e.g. 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.

No Officer would be given the benefit of relaxation in the minimum required experience at two successive levels of promotion in Scale III and above.

1.5 RURAL/SEMI-URBAN BRANCH SERVICE

As per Government guidelines, there shall be mandatory requirement of 2 years continuous service in rural areas for promotion from JMGS-I to MMGS-II and a total of 3 years in rural/ semi urban areas, including rural service in JMGS-I for promotion from MMGS-II to MMGS-III. For seniority channel,

officers who have put in more than the aforesaid service in rural areas will get an advantage of further relaxation of 50% weightage in minimum experience, for each additional completed year of service, while assessing their eligibility as per Clause 1.4 hereinabove.

However, the following relaxations will be allowed for the Promotion Processes to be held in the ensuing years:

For the Promotion Year	Relaxation permitted	
	for requirement of 2 years in JMGS-I	for requirement of 3 years in MMGS-II
2011-12 and 2012-13	2 years	3 years
2013-14	1 year 3 months	2 years 3 months
2014-15	3 months	1 year 3 months
2015-16	Nil	3 months

Officers promoted for the year upto 2012-13 would need to be posted to rural/semi urban areas immediately on posting, if they do not meet the condition of such posting.

1.6 EXEMPTION FROM RURAL/SEMI-URBAN BRANCH SERVICE

- (i) The stipulation of Rural/Semi-Urban Branch Service for promotions to higher Grade /Scale may be exempted in the case of Physically Challenged Officers, whose handicap is of such a nature that they cannot serve in a Rural/Semi-Urban Branch. The Managing Director may decide in each individual case, whether such exemption is to be given keeping in view the nature of the handicap.
- (ii) Officers in JMGS-I and MMGS-II laterally inducted into Forex / IT Depts. / EDP Cells and such other Functional Specialists will not be required to undergo the requisite rural / semi-urban Branch Service during their tenure in these Departments. If such Officers come in the Zone of Consideration for Promotion to Scale II and III, they will be considered for such promotions without insistence on Rural/Semi-Urban Branch Service.



- (iii) An Officer, who is an active National/International Player/Coach, may be exempted from stipulation of Rural/Semi-Urban Branch Service, so long as such an Officer remains active in the sports field, at the National/International Level. However, on ceasing to play/coach at the National/International Level, such an Officer will be required to undergo the requisite Rural/Semi-Urban Branch Service. For this purpose, an active national player/coach will mean a person who plays/coaches in recognized National Competitions on behalf of the State and an International Player/Coach will mean the person who represents the Country/coaches any Indian Team in International Competitions.
- (iv) Officers posted as Dealers will not be required to undergo rural/semi-urban branch service during the tenure in Exchange Dealing branches. If such officers come in the zone of consideration for promotion to Scale II & Scale III, they will be considered for such promotions without insistence on rural/semi-urban branch service. If found suitable for promotion, they will be promoted provisionally. However, such provisionally promoted officers be moved out of Exchange Dealing branches within a period of five years. In the event of refusal to undergo the rural/semi-urban branch service, the concerned officers will be reverted to the Grade/Scale they were in, prior to the provisional promotion.

1.7 ZONE OF CONSIDERATION

- I. Zone of consideration for promotion should be maintained strictly in the ratio of 1:3. In case, fresh candidates equal to the number of anticipated vacancies are not available by keeping Zone of Consideration at 3 times the anticipated vacancies, the Zone of Consideration may be extended to 4 times the number of anticipated vacancies with the prior approval of the Board.
- II. In case it is not possible for the bank to fill all the posts under merit quota, the Bank may at its discretion decide to fill the remaining post under the normal/seniority channel.



1.8 WEIGHTAGES

Percentage weightage for the various promotional parameters will be as follows :

<i>Promotion</i>	<i>Percentage Weightage</i>				
	<i>Edu Qlf.</i>	<i>Job. Resp</i>	<i>Perf. Apprsl.</i>	<i>Written Test / Group Discussion</i>	<i>Interview</i>
JMGS I to MMGS II (Merit/Fast Track)	5	15	20	40	20
JMGS I to MMGS II (Normal/Seniority Track)	5	15	60	-	20
MMGS II to MMGS III (Merit/Fast Track)	5	15	20	35	25
MMGS II to MMGS III (Normal/Seniority Track)	5	15	50	-	30
MMGS III to SMGS IV (Merit/Fast Track)	5	15	30	25	25
SMGS IV to SMGS V (Merit Track)	-	-	60	20	20
SMGS V to TEGS VI (Merit Track)	-	-	60	-	40
TEGS VI to TEGS VII (Merit Track)	-	-	60	-	40

- Minimum qualifying marks in the Written Test/Group Discussion would be 50%. In case of Computer Literacy/Computer Knowledge Test the minimum qualifying marks would be 30%. Marks scored in Computer Literacy and Computer Knowledge Test would be only for qualification purpose and not for ranking.
- To become eligible for promotion, minimum qualifying marks in various promotional parameters put together, would be 40% of aggregate.



1.9 METHODOLOGY OF AWARDING MARKS

The methodology of awarding marks for promotion to a higher Scale (both under Normal and Fast Tracks) under the various parameters will be as under:

(a) Educational Qualifications :

Graduation	..	1 mark
Post Graduation/BGL/LL.B/ICWA/MBA/ CS/Dip. in Bank Management awarded by I.I.B. including Ph.D./P.D.M.	..	1.5 marks
CAIB (I)/JAIIB	..	1 mark
CAIB (II)/CAIIB	..	1.5 marks
C.A./C.F.A.	..	2 marks

The above marks are cumulative with a maximum of 5 marks.

(b) Performance Appraisal :

Performance of an eligible Officer will be assessed through Appraisal Reports annually received from his/her superior(s), as per the guidelines, as may be determined by the Management from time to time. Marks will be awarded for performance on the basis of Appraisal Reports as of immediately preceding 31st March, and preceding two years thereto, i.e. three years in all.

Appraisal Ratings:

There shall be a requirement of minimum 75% marks in APAR for each of the years of service eligible for promotion, in case of promotion on merit/fast track channel.

(c) Written Test / Group Discussion/Computer Literacy Test:

- Written test will be applicable only for promotion upto MMGS-III under Merit/Fast Track.
- Computer Literacy Test will be administered in respect of Promotion from MMGS-III to SMGS-IV and from SMGS-IV to SMGS-V to test computer literacy and computer knowledge.
- Group discussion will be applicable for promotion from MMGS-III to SMGS-IV and SMGS-IV to SMGS-V to assess the communication - conceptual and leadership capabilities of the candidates.

Note: The written test consisting of Objective-Multiple Choice Questions (Off line or On line) will be for 100 marks, covering subjects relating to Banking Routine, Law & Practice of Banking, Economics including Agricultural Finance for Fast / Merit track for promotion to MMGS-II and MMGS-III.

The Computer Literacy and Computer knowledge test consisting of Objective-Multiple Choice Questions (Off line or On line) will be for 50 marks, to test the proficiency in computer application for promotion to SMGS-IV and SMGS-V. Candidate should score minimum 30% marks to qualify for Promotion. Marks scored in Computer Literacy/ Computer Knowledge test will not be reckoned for any other purpose.

In case of Group Discussion for promotion from MMGS-III to SMGS-IV and from SMGS-IV to SMGS-V, a Committee consisting of outside experts and officers of the Bank shall be constituted. The names of the outside experts will be approved by the Board.

The marks obtained in written test and/or group discussion will be reduced as per the weightages provided in para 1.8.

(d) Job Responsibility

Marks will be awarded for every completed year of actual service in respective Grade/Scale of an officer as under:

For promotion from JMGS-I to MMGS-II
(for both Normal & Fast Track) :

- | | (Per year) |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| • Branch Managers/Branch Managers of RRBs/MD (FSS) | ... 2 marks |
| • All Officers other than those mentioned in (i)above (after completion of continuous service of 5 years in case of Normal Track & 3 years in case of Fast Track) | ... 1.5 marks |

Marks under this parameter will not exceed 15.



**For promotion from MMGS- II to MMGS-III
(for both Normal & Fast Track) :**

- | | |
|--------------------------------------------------------|-------------|
| | (Per year) |
| • Branch Managers/Branch Managers of RRBs/MD (FSS) | ... 2 marks |
| • All Officers other than those mentioned in (i) above | ... 1 mark |

Marks under this parameter will not exceed 15.

For promotion from MMGS-III to SMGS-IV (Merit/Fast Track)

- | | |
|-----------------------------------------------------------------------------------------------------------------------------------------|--------------|
| | (Per year) |
| • Branch Managers (including Offtg. Chief Managers)/MD (FSS) & Officers on deputation to RRB/IBA/IIBF/RBI & other External Institutions | ... 2 marks |
| • All Officers other than those mentioned in (i) above | ... 1 mark |

Marks under this parameter will not exceed 15.

Note: Job Responsibility marks will be awarded for each completed year as under:

- i. For promotion from JMGS-I to MMGS-II, service rendered in JMGS-I will be counted.
- ii. For promotion from MMGS-II to MMGS-III, service rendered in MMGS-II only will be counted.
- iii. For promotion from MMGS-III to SMGS-IV, service rendered in MMGS-III only will be counted.
- iv. Wherever an officer has officiated in a designated post, continuously for a period of six months or more, the same will be reckoned for awarding job responsibility marks.

While calculating the marks, the marks will be awarded by totalling the years of service in designation given in (i) and (ii) respectively in his present cadre (subject to having worked for a minimum of 6 months in case of designations given in (i) continuously).

- v. Though the job responsibility marks will be awarded for each completed year of service, incomplete year of six months or more

will be reckoned as one year and the marks will be awarded accordingly.

- vi. Actual service would exclude any extra-ordinary leave on loss of pay availed/unauthorised absence by the Officer.

1.10 INTERVIEW PANELS AND COMPETENT AUTHORITY

- (1) (a) Interview Panel(s) for promotion from JMGS-I to MMGS-II and from MMGS-II to MMGS-III will be constituted by the Chairman & Managing Director/Executive Director as follows, and he will be the Competent Authority for the purpose of promotion to these scales:

For Promotion	Interview Panel consisting
1. JMG-I to MMGS-II	One Assistant General Manager and two Chief Managers.
2. MMGS-II to MMGS-III	One Deputy General Manager and two Assistant General Managers.
<u>Note:</u> The Competent Authority can change the Grades of Officers in this Interview Panel (Officers from a Grade higher is permissible).	

- (1) (b) Interview Panel for promotion from MMGS-III to SMGS-IV will be on the following lines:

For Promotion	Interview Panel consisting
MMGS-III to SMGS-IV	Three General Managers or in the absence of the third General Manager, a Deputy General Manager.

The Chairman & Managing Director will be the Competent Authority for such promotions.



- (1) (c) Interview Panel for promotion from SMGS-IV to SMGS-V will be on the following lines:

For Promotion	Interview Panel consisting
SMGS-IV to SMGS-V	Departmental Promotion Committee shall comprise of the Executive Director, two General Managers and two outside Experts with domain knowledge approved by the Board.

- (1) (d) Interview Panel for promotion from SMGS-V to TEGS-VI will be on the following lines:

For Promotion	Interview Panel consisting
SMGS-V to TEGS-VI	Departmental Promotion Committee shall comprise of Chairman & Managing Director, Executive Director, one General Manager and two outside Experts with domain knowledge approved by the Board.

- (1) (e) The Directors' Promotion Committee will be the Competent Authority for the purpose of promotions from TEGS-VI to TEGS-VII. The interview panel for the purpose of promotion to this Scale will be as follows:

For Promotion	Interview Panel consisting
TEGS-VI to TEGS-VII	Directors' Promotion Committee comprising the Chairman & Managing Director, the RBI Nominee Director, Government Nominee Director and one outside Expert with domain knowledge approved by the Board. (Executive Director in case the post of Chairman & Managing Director is vacant)



Note:

- For promotion from Scale-I upto Scale-VI, the composition of the Committee would be as mentioned above. However, if a SC/ST Officer of the designation mentioned therein is available within the Bank, he would be included as a member of the Committee. In case, where no Officer of the designation mentioned in the composition of the Committee is available, a member belonging to SC/ST may be co-opted. In that case, the composition of the Committee would be one additional member belonging to SC/ST. The co-opted member may be one Scale above the level for which promotion is made and he/she will function like other regular members and participate in all the meetings of the Committee.
- During interview for Scale V, VI and VII, weightages shall be given to the following:
 - Whether the officer has worked in different specialized areas of the Bank.
 - Whether the officer has been posted in different parts of India or has been in only one/few Regions/Zones.
 - Whether the officer has experience of working in the field as well as working in Regional/Zonal and Head Office.
 - Whether the officer has professional qualifications and/or whether the officer has acquired additional qualifications after joining the service.
- The marks scored by Officers in the interview will be for the purpose of ranking.

1.11 Career Path for the following category of Specialist Officers will be restricted up to the scales indicated below :

	CATEGORY	CAREER PATH UPTO
(a)	Computer Specialists recruited in Scale IV, Scale V & Scale VI	Scale VII
(b)	Security Officers	Scale VI
(c)	Law Officers	Scale VI
(d)	Economists	Scale VI



(e)	Company Secretary	Scale VI
(f)	Dealers	Scale VI
(g)	Officers (Computer Audit)	Scale VI
(h)	Chartered Accountants	Scale VI
(i)	Information Technology Officers (IT)	Scale VI
(j)	Fire Officers	Scale IV
(k)	Electrical Officers	Scale IV
(l)	Architects/Engineers	Scale IV
(m)	Officers (Lending Automation Solution)	Scale VI
(n)	Officers (Asset-Liability/Risk Mgmt.)	Scale VI
(o)	Marketing Officers (Retail Banking, New Initiatives and Forex)	Scale IV
(p)	Officers (Cash Management Services)	Scale IV
(q)	Rural Development Officers	Scale IV
(r)	Official Language (Hindi) Officers	Scale V
(s)	Personnel Officers	Scale IV
(t)	Technical Officers	Scale IV
(u)	Credit Officers	Scale IV
(w)	Forex Officers	Scale IV

Career Path for Specialist Officers other than the above categories will be restricted upto SMGS-IV only. Executives in the above segments whose career path has been restricted as indicated above, shall be allowed to participate in the promotion process to the higher Grade/Scale along with other General Banking Officers in that Scale. For this purpose, there shall be a combined seniority list of Officers in the respective scales upto which the career path is restricted, as per their inter-se seniority. Once the Officer is promoted to the higher Grade/Scale, he/she shall cease to be in the Specialist Segment and merge with the General Banking Stream.

- For specialised cadre, it will be mandatory that prior to joining the main stream cadre, the officer joining this cadre should necessarily remain in that cadre for at least five completed years of service. Thereafter, the officer should gain experience of at least two years in field operation, if he/she has not gained the experience earlier. There will be exemption from posting to rural areas for these officers.



- Such conversion to General Banking will be at the discretion of the Management, subject to the concerned Officer being found suitable for conversion by a Committee of three Executives in Top Executive Grade/ Senior Management Grade, constituted by the Chairman & Managing Director and decision will be taken on the basis of availability of suitable replacement in their places. The option of conversion will be available only once in the career of an Officer.
- Officers recruited in General banking and working in the specialized segment / functional department mentioned above and possessing requisite qualifications / experience may also opt for conversion to Specialised segment. Such Officers may submit their requests for conversion in response to the Circular issued by the Bank. They will be considered for conversion at the sole discretion of the Management.

CHAPTER II

SELECTION PROCEDURE

- 2.1 In case of promotions upto MMGS-III under Fast Track, applications will be invited from eligible Officers as provided for in para 1.3 to participate in the Promotion Process. Applicants for promotions under Fast Track upto MMGS-III will be required to appear for a written test and they will be listed in the descending order of total marks secured by them in the written test. From this list, eligible officers who are coming in the Zone of Consideration will be required to appear for interview before the Interview Panel/Panels.
- 2.2 In case of promotions to MMGS-II and MMGS-III under Normal Track, applications will be invited from all the eligible Officers. Only those eligible officers who apply and who are coming in the Zone of Consideration will be interviewed by panel/panels, to be constituted by the Executive Director/Chairman & Managing Director as the case may be.
- 2.3(a) In case of promotion to SMGS-IV, applications will be invited from all the eligible Officers. Those Officers who apply, will be administered Computer Literacy/Computer Knowledge test (on-line/off-line) and those eligible officers, who secure 30% qualifying marks in the test and who are coming in the Zone of Consideration will be allowed to participate in the Group Discussion. Candidates who are found successful in the Group Discussion will be interviewed by panel/panels, to be constituted by the Executive Director/Chairman & Managing Director as the case may be.



2.3(b) For Promotion to SMGS-V, applications will be invited from all the eligible Officers. Those officers who apply, will be administered Computer Literacy/Computer Knowledge test (on-line/off-line) and those eligible officers who secure 30% qualifying marks in the test and who are coming in the Zone of Consideration will be allowed to participate in the Group Discussion. Candidates who are found successful in the Group Discussion will be interviewed by the Departmental Promotion Committee as provided in para (1)(c) of clause 1.10.

2.3(c) For promotions to TEGS-VI and TEGS-VII, applications will be invited from all the eligible Executives. Those eligible Executives who apply and are coming in the Zone of Consideration will be assessed by the Directors' Promotion Committee, as provided in para (1)(d) and (1)(e) of clause 1.10 respectively.

2.4 PREPARATION OF MERIT-LIST

(a) Marks under the various parameters will be awarded to the Officers as prescribed in Para 1.8 above. Officers who have appeared in the interview will be listed in the order of aggregate marks secured by them in the various parameters. If two or more Officers secure identical aggregate marks, their order in the merit list will be as per their inter-se seniority.

(b) For promotions upto MMGS-III, the relative merit-list will be declared to the extent of 100% of the number of vacancies identified in the respective Grade/Scales, for which promotion processes are conducted and such merit lists will be valid till the end of the financial year for which the vacancies are identified.

All unsuccessful candidates who appeared in the Promotion Process/es upto MMGS-III will be informed of the total marks scored by them in the said Promotion Process/es within 15 days from the declaration of results.

Further, a panel of waiting list of candidates to the extent of 5% of the vacancies declared shall be prepared and the vacancies that may arise during the next 6 months from the date of preparation of such waiting list or during the period upto the date of initiation of the next promotion process to the respective scale whichever is earlier, shall be filled up from such waiting list, which list shall lapse thereafter. However, this does not confer any right for promotion on the candidate whose name is appearing in the said waiting list.

(c) Subject to para 2.4(a) in the case of promotions upto MMGS III, a merit-list to the extent of the vacancies identified in each of the respective channels will be declared. The merit list will consist of two parts (A) Normal Track and (B) Fast Track.



- (i) If an Officer participates in both the channels and becomes eligible for empanelment under both the channels, his name will appear in the list for Fast Track.
 - (ii) For the purpose of seniority list Officers empanelled in both the tracks on promotion upto MMGS III, will be listed in a common seniority list. The seniority of the Officers will be reckoned with reference to the date of promotion in the relevant Grade/Scale.
 - (iii) Where there are two or more Officers promoted on the same date, inter-se seniority shall be determined with reference to their seniority in the immediate preceding Grade/Scale.
- 2.5 In case of promotion to SMGS-IV, the relative merit list will be declared to the extent of 100% of number of vacancies identified for which promotion process is conducted and such merit list will be valid till the end of the financial year for which the vacancies are identified. Further a panel of waiting list of candidates to the extent of 5% of the vacancies declared shall be prepared and the vacancies that may arise during the next 6 months from the date of preparation of such waiting list or during the period upto the date of initiation of the next promotion process to the respective scale whichever is earlier, shall be filled up from such waiting list, which list shall lapse thereafter. However, this does not confer any right for promotion on the candidate whose name is appearing in the said waiting list.
- 2.6 In the case of promotions to SMGS-V, TEGS-VI & TEGS-VII, merit list will be declared to the extent not exceeding 100% of the vacancies identified and the ranking of Officers in the list will be as per the decision of the Departmental/Directors' Promotion Committee.

CHAPTER III

PROMOTION OF SPECIALIST OFFICERS

3.1 The following are the Specialised Segments in the Bank:

1. Law Officers
2. Security Officers
3. Official Language Officers (Hindi Officers)
4. Architects/Engineers
5. Personnel Officers
6. Technical Officers
7. Computer Specialists recruited in Scale IV, V, VI & VII
8. Information Technology Officers (IT)
9. Chartered Accountants
10. Economists



11. Company Secretary
12. Dealers
13. Officers (Computer Audit)
14. Fire Officers
15. Electrical Officers
16. Officers (Lending Automation Solution)
17. Officers (Asset - Liability/ Risk Management)
18. Marketing Officers (Retail Banking, New Initiatives and Forex etc.)
19. Officers (Cash Management Services)
20. Rural Development Officers
21. Credit Officers
22. Forex Officers

N.B: Information Technology Officers would include those recruited in Scale I, II & III or promoted in this segment from Clerical Cadre/Lower Cadre to Higher Cadre within Officer Cadre or converted from General Banking Category.

3.2 Subject to para 1.11 Specialist Officers will be considered for promotion in the respective specialised segments, depending upon the availability of vacancies.

3.3 (i) There shall be a two channeled system of promotion of Officers from JMGS-I to MMGS-II, MMGS-II to MMGS-III, as follows:

Normal Track - To fill up 80% of vacancies identified.

Fast Track - To fill up the remaining 20% of vacancies identified.

There would be a Written Test for Promotions upto Scale III under Fast Track in the subject covering the relevant Specialization field with the Minimum Qualifying Marks of 50%. However, in case the Written Test is not found feasible due to less number of eligible candidates or any such valid reasons, Group Discussion (in lieu of Written Test) would be administered, with the prior approval of the Chairman and Managing Director.

Further, for Promotion from Scale-III to IV and Scale-IV to V, test for Computer literacy/Computer knowledge and Group Discussion would be administered as provided under clause 1.8.

N.B: In case all the vacancies under Fast Track Channel are not filled up, due to non-availability of candidates with requisite qualifications/ marks, such vacancies may be filled up through Normal Track Channel.



- 3.3 (ii) The Eligibility criteria for Normal Track promotions in terms of minimum number of years of service, for promotions to the various Grades/Scales in the Specialised Segments will be the same as laid down in para 1.3 above read with provisions of para 1.4, with the exception that the stipulation of Rural/Semi-Urban Branch service will not be applicable for promotions to MMGS-II and MMGS-III.

The Eligibility criteria for Fast Track promotions would be as under:

[1] Minimum Service

- (a) 3 years of satisfactory service in JMGS-I for promotion to MMGS-II.
 (b) 3 years of satisfactory service in MMGS-II for promotion to MMGS-III.

[2] Appraisal Rating

75% marks in APAR for each of the year of service eligible for promotion.

[3] Should have Computer Awareness

[4] Weightage for Educational Qualifications

<u>Qualifications</u>	<u>Marks</u>
Graduation	1
Post-Graduation/BGL/LL.B/ICWA/MBA/ CS/Dip. In Bank Management awarded by I.I.B&F including Ph.D/P.D.M.	1.5
CAIB(I)/JAIIB	1
CAIB(II) CAIIB	1.5
C.A/C.F.A	2

N.B: Above marks are cumulative with maximum of 5 marks.



[5] WEIGHTAGE

Percentage weightage for the various promotional parameters will be as follows :

Promotion	Percentage Weightage				
	Edu Qlf.	Job. Resp	Perf. Apprsl.	Written Test / Group Discussion	Interview
Scale I to II (Fast Track)	5	15	20	40	20
Scale I to II (Normal Track)	5	15	60	-	20
Scale II to III (Fast Track)	5	15	20	35	25
Scale II to III (Normal Track)	5	15	50	-	30
Scale III to IV (Merit/Fast Track)	5	15	30	25	25
Scale IV to V (Merit Track)	-	-	60	20	20
Scale V to VI	-	-	60	-	40
Scale VI to VII	-	-	60	-	40

- (i) Minimum qualifying marks in the written test/group discussion would be 50%. In case of Computer Literacy/Computer Knowledge the minimum qualifying marks would be 30%. Marks scored in Computer Literacy and Computer Knowledge Test would be only for qualification purpose and not for ranking.
- (ii) To become eligible for promotion, minimum qualifying marks in various promotional parameters put together, would be 40% of aggregate.

The provision for relaxation in the minimum number of years of service as contained in para 1.4 above will also be applicable for promotions to various Grade/Scales in the Specialised Segments.

3.4 **CONVERSION**

Subject to para 1.11 as mentioned above, conversion of specialised officers to General Banking is possible in the following circumstances:

- For specialised cadre it will be mandatory that prior to joining the main stream cadre, the officer joining this cadre should necessarily remain in that cadre for at least five completed years of service. Thereafter, the officer should gain experience of at least two years in field operation, if he has not gained the experience earlier. There will be an exemption from posting to rural areas for these officers.



- Such conversion to General Banking will be at the discretion of the Management, subject to the concerned Officer being found suitable for conversion by a Committee of three Executives in Top Executive Grade/ Senior Management Grade, constituted by the Chairman & Managing Director and decision will be taken on the basis of availability of suitable replacement in their places. The option of conversion will be available only once in the career of an Officer.
- Officers recruited in General banking and working in the specialized segment/functional department mentioned above and possessing requisite qualifications/experience may also opt for conversion to Specialised segment. Such Officers may submit their requests for conversion in response to the Circular issued by the Bank. They will be considered for conversion at the sole discretion of the Management.

3.5 Subject to para 1.11 seniority of a Converttee Officer in the converted segment will be reckoned from the date of such conversion. In the case of conversion in a batch on a common date, their seniority will be reckoned as per the inter-se seniority in the segment prior to conversion.

3.6 In case of Converttee Officers, the services rendered by them in the segment prior to conversion, will be reckoned for the purpose of eligibility to participate in the promotion process, notwithstanding that the Officers senior in the relative seniority list being considered ineligible for promotion for want of minimum stipulated years of service.

CHAPTER IV

PROVISIONS RELATING TO SC/ST OFFICERS & SPORT PERSONS

- 4.1 (a) As per Government guidelines received from time to time.
- (b) Other terms and conditions applicable to General Category Officers for the purpose of promotion from Scale I to II and from Scale II to III will also be applicable to Scheduled Caste/Scheduled Tribe Officers while considering their promotions to the aforesaid Scale(s).
- (c) With a view to improving chances of Scheduled Caste/Scheduled Tribe Officers, for their promotion to MMGS II and III, the Bank will endeavour to provide them with more opportunities for institutional and/or job training and for attending Seminars/Symposia/Conferences. Further, it would be the special responsibility of the immediate superior Officers of the SC/ST Officers in JMGS I and MMGS II to give advice and guidance to the latter to improve the quality of their work and efficiency.



- 4.2 Notwithstanding the aforesaid guidelines, an Officer employee of the Bank, whether he/she is recruited as a Sports person or otherwise, be considered for one out-of- turn promotion in his/her entire career, after he/she wins a medal for the country or is awarded a National Award by the Government of India or a prize in an individual event or in a team event as playing member of the team in Olympics, Asiad or any other International event in which either all the Nations are eligible to participate or a few, selected on the basis of their performance and past record, have been invited to participate.

If an Officer employee wins an award, prize, medal, in any other International event, or in exceptional cases, if an Officer employee has been continuously performing well and winning tournaments. Championships, prizes, medals, etc. at the National Level, and the Bank considers the Officer's case fit for out-of-turn promotion, the Bank may promote him/her after seeking the views of the Bank's Sports Board.

CHAPTER - V

APPELLATE PROCEDURE

- 5.1 Any Officer in and upto MMGS III, who feels that his case for promotion to the higher Grade/Scale has not been properly dealt with, will have a right to appeal directly to the Chairman & Managing Director/Executive Director within 30 days from the date of empanelment of Officers for promotion to higher Grade/Scale. The Chairman & Managing Director/Executive Director may constitute a Committee consisting of three Officers not below the rank of Scale VI to process the appeal and submit to him their recommendations. The recommendations of the Committee shall be placed before the Chairman & Managing Director/ Executive Director within 60 days from the last date of submission of appeals. The decision of the Chairman & Managing Director/Executive Director in respect of the appeals shall be taken as final. Seniority of an Officer selected for promotion on Appeal, shall be reckoned from the date of promotion to the relevant higher Grade/Scale.
- 5.2 There shall be no appeal against the decision of the Departmental Promotion Committee in respect of promotions from SMGS-IV to SMGS-V and SMGS-V to TEGS-VI. However, an officer aggrieved with the decision of the Departmental Promotion Committee, may make a representation to the said Committee within a period of 30 days from the date on which the promotion was announced.



The Committee as soon as it may be and in any case not later than three months from the date of receipt of representation, consider the representation and review or modify its earlier decision, if considered necessary. The decision of the Committee shall be recorded in writing and shall be placed before the Board of Directors for ratification before being implemented.

- 5.3 There shall be no appeal against the decision of the Directors' Promotion Committee in respect of promotions from TEGS VI to TEGS VII. However, an officer aggrieved with the decision of the Directors' Promotion Committee may make a representation to the said Committee within a period of 30 days from the date on which the promotion was announced.

The Committee as soon as it may be and in any case not later than three months from the date of receipt of representation, consider the representation and review or modify its earlier decision, if considered necessary. The decision of the Committee shall be recorded in writing and shall be placed before the Board of Directors for ratification before being implemented.

CHAPTER - VI

PROCEDURE WITH REFERENCE TO DISCIPLINARY / CRIMINAL PROCEEDINGS AGAINST OFFICERS

- 6.1(a) Officers in respect of whom punishment has been inflicted and/or criminal prosecution involving moral turpitude has been instituted in the past, will not be eligible to participate in the promotion process (excepting censure for which there being no rigor) for a period of one year from the date of infliction of the said penalty/court verdict whereafter only the officer would become eligible to participate in the promotion process. In respect of those Officers who have been imposed punishment after being empanelled for promotion to higher Grade/Scale, their names will be struck off from the merit list and they will also not be permitted to participate in the subsequent promotion process for a period of one year from the date of infliction of the said penalty whereafter only the officer would become eligible to participate in the promotion process.
- (b)(i) The following category of Officers will be permitted to take part in the promotion process but the findings of the Competent Authority as regards empanelment / promotion of these Officers will be kept in Sealed Cover to be opened after conclusion of the disciplinary case/criminal prosecution:



- (1) Officers who are under suspension;
- (2) Officers in respect of whom a charge-sheet has been issued and the disciplinary proceedings are pending;
- (3) Officers in respect of whom prosecution for a criminal charge is pending.

The Competent Authority shall assess suitability of the officer coming within the purview of the circumstances mentioned above, alongwith other eligible candidates without taking into account the disciplinary case / criminal prosecution pending against him.

However, if on the conclusion of the disciplinary case/criminal prosecution, the Officer concerned is completely exonerated and in case, he was under suspension, it is held that the suspension was wholly unjustified, sealed cover(s) will be opened and the findings of the Competent Authority in respect of his empanelment /promotion will be acted upon. The Officer concerned will be empanelled on the merit list at the place at which he would have been empanelled, but for the pending disciplinary case / criminal prosecution. The promotion, if issued, will be given effect to from the date it would have been otherwise effected, but for the disciplinary case/criminal prosecution. He will be given benefit of seniority and fixation of pay on a notional basis with reference to the date on which he would have been promoted in the normal course. Provided that, it will always be open to the General Manager (HR) / Executive Director, in case the Officer is completely exonerated, to decide the question whether the Officer concerned will be entitled to any arrears of pay for the period notional promotion preceding the date of actual promotion, and if so, to what extent, by taking into consideration all the facts and circumstances of the disciplinary proceedings/ criminal prosecution. Where the Authority decides not to allow arrears of salary or any part of it, it will record its reasons for the same.

If any penalty is inflicted upon the Officer concerned as a result of disciplinary proceedings or if he is found guilty by the Court in the criminal prosecution, the findings in the Sealed Cover(s) would not be acted upon. He will not be eligible for empanelment on the merit list for promotion to higher Grade/Scale and he will also not be permitted to participate in the subsequent promotion process for a minimum period of one year from the date of infliction of the said penalty (other than Censure) / court verdict whereafter only the officer would become eligible to participate in the promotion process.



- (b)(ii) After the empanelment of an Officer for promotion in the merit list, if any of the circumstances mentioned from Sr. Nos. 1 to 3 at 6.1 (b) (i) above arise, but before the Officer concerned is actually promoted, it will be considered as if his case had been placed in a Sealed Cover and accordingly procedure as applicable to Sealed Cover cases will be followed.
- (b)(iii) After the findings are kept in a sealed cover(s), if there is subsequent promotion process(es), the Officer concerned will be eligible to participate in such promotion process(es) and findings as regards his suitability for empanelment / promotion will be kept in a sealed cover(s) and procedure as explained in para 6.1 (b) (i) above, will also be followed in respect of the subsequent sealed cover(s). On completion of disciplinary / court proceedings, if he is to be empanelled, he will be empanelled at the place which he would have otherwise got on the merit list of the promotion process in respect of which first sealed cover was prepared. He will, therefore, get preference for promotion over other Officers empanelled on the merit list(s) of subsequent promotion process (es).
- (b)(iv) In case, the disciplinary case/criminal prosecution has not been concluded even after expiry of 2 years from the date of recording of findings in respect of Officer in whose case Sealed Cover is followed or from the date of taking decision of withholding the promotion in respect of an Officer whose name has been empanelled, but where promotion is withheld, the Committee of Executives at Central Office will review his case to consider his ad-hoc promotion, PROVIDED THE OFFICER IS NOT UNDER SUSPENSION. The Committee of Executives will review such cases taking into account 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 finalisation of 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 ad-hoc promotion, which



may adversely affect the conduct of the departmental case / criminal prosecution.

The Competent Authority should make its assessment on the basis of totality of the individual's record of service without taking into account the pending disciplinary case / criminal prosecution against him.

The promotion of an Officer on purely ad-hoc basis as above shall not confer on him any right for regular promotion. As such, ad-hoc promotion will always be with prospective date, i.e. the date on which the Committee of Executives has cleared his case for ad-hoc promotion. Promotion can be cancelled by the Management and the concerned Officer can be reverted to his earlier Grade/Scale from which he was promoted at any time.

If the concerned Officer is acquitted in the criminal prosecution on the merits of the case or is fully exonerated in the departmental proceedings, the ad-hoc promotion already made may be confirmed and the promotion be treated as a regular one from the date of ad-hoc promotion with all attendant benefits. In case the Officer would have normally got his regular promotion from the date prior to the date of his ad-hoc promotion with reference to his placement in the D.P.C. proceedings kept in the Sealed Cover(s) and the actual date of promotion of the person ranked immediately junior to him by the same D.P.C., he would also be allowed his due seniority and benefit of notional promotion as envisaged in para 6.1 (b) (i) above.

In case of infliction of any penalty or when the Officer concerned is not acquitted in the criminal proceedings, the ad-hoc promotion will be brought to an end and the Officer concerned will be reverted to his previous Grade/Scale from which he was promoted on ad-hoc basis. He will not be eligible for empanelment on the merit list for promotion to higher Grade/ Scale and he will also not be permitted to participate in the subsequent process for a minimum period of one year from the date of infliction of the said penalty (other than Censure) whereafter only the officer would become eligible to participate in the promotion process. In respect of Officer empanelled in the merit list, his name will also be struck off from the merit list.

If the Officer is not acquitted on merits in the criminal prosecution, but purely on technical grounds and the Government/Bank either proposes to take up the matter to higher Court/to proceed against him departmentally or if the Officer is not exonerated in the departmental proceedings, the ad-hoc promotion granted to him should be brought to an end.



- (b)(v) Where acquittal by the Court is made on technical grounds, if the Government / Bank does not propose to go in for appeal to higher Court and the Bank also does not propose to take further disciplinary action, the case will be dealt with, in the same manner as spelt out in para 6.1 (b) (iv) above, as if the Officer has been acquitted by the Court on merit.
- (b)(vi) The Committee of Executives referred in para 6.1 (b) above, shall be the Committee appointed by the Chairman & Managing Director for this purpose from time to time. The Committee will consist of three Officers who will not be below the rank than that of an Officer categorised in Scale V.
- (b)(vii) The Competent Authority referred in para 6.1 (b) shall be the officer in Scale-VI, overseeing the Human Resource Management Department or the authority above him.
- (b)(viii) There shall be six-monthly review of Sealed Cover cases, covering inter-alia the following aspects, by the Managing Director;
- (1) Progress made in the disciplinary proceedings / criminal prosecution; and
 - (2) Further measures to be taken to expedite their completion.

If as a result of the above, it is felt that there is no case for taking action against the officer concerned, the Sealed Cover may be opened and he may be given his due promotion with reference to the position assigned by the D.P.C.

CHAPTER VII

MISCELLANEOUS PROVISIONS

7.1 REFUSAL TO ACCEPT PROMOTION :

If an Officer participates in a promotion process and is selected for promotion, but refuses to accept promotion without adducing sufficient and convincing reasons, he shall be debarred from further promotions for a period of three years from the date of such refusal.

The time limit for refusal to accept promotion shall be 15 days from the date of receipt of the promotion order.



However, where an Officer accepts promotion but desires to postpone his transfer for a reasonable period, he may be permitted a maximum of 3 months time, which shall be granted at the sole discretion of the Management on the merits of each case.

N.B.: In case an Officer requests for reversion after accepting promotion, on medical grounds of self, spouse and children within 06 months from the date of reporting at the new place of posting, such request for reversion shall be considered and he/ she will be posted as far as possible in the same region from where he/ she was transferred on promotion.

7.2 SUBMISSION OF ASSETS & LIABILITIES RETURNS

An Officer who has not submitted the return of his Assets & Liabilities as required under Regulation 20 of Union Bank of India Officer Employees' (Conduct) Regulation, 1976 will be considered ineligible for promotion despite the fact that he may have been empanelled on the merit list. He will, however, be eligible for promotion, provided he submits the return of Assets & Liabilities, within the validity period of the relevant merit list.

7.3 FITMENT ON PROMOTION

Fitment of Officers on promotion from one Scale to another will be as per the guidelines received from the Government of India/Indian Banks' Association from time to time.

7.4 Notwithstanding anything contained hereinabove or in any of Chapters on this policy -

(a) Creation of new or additional posts in any Grade/Scale or filling up vacancies in such posts or in existing posts (in any Grade/Scale) as a consequence of retirement, resignation, termination, cessation in employment, transfer, demotion, promotion, etc. of the permanent incumbent will not be automatic and will be done at the discretion of the Management.

(b) Abolition of existing posts in any Grade/Scale will be done at the discretion of the Management.

7.5 If any question arises as to the application or interpretation of any of paras under this policy, it shall be referred to the Managing Director for his decision.

7.6 The Board reserves its right to change, alter, amend or vary from time to time, any rule or rules incorporated herein.

