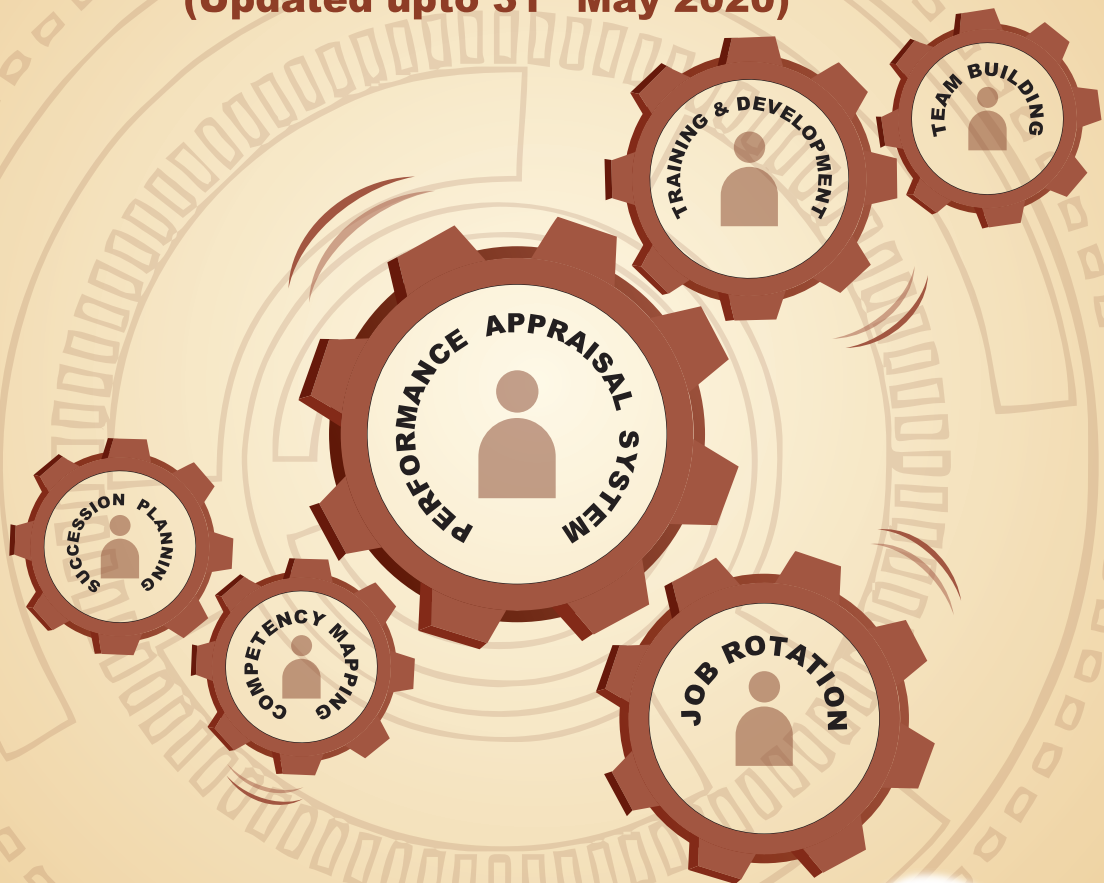


HR MANUAL

BOOK 3

RULES RELATING TO PERFORMANCE APPRAISAL SYSTEM, JOB ROTATION, TRAINING AND SPONSORSHIP SCHEMES

(Updated upto 31st May 2020)



Hindustan Aeronautics Limited

Corporate Office
15/1, Cubbon Road, Bengaluru - 560 001
www.hal-india.co.in

(for Private Circulation Only)

HR MANUAL

BOOK 3

RULES RELATING TO PERFORMANCE APPRAISAL SYSTEM, JOB ROTATION, TRAINING AND SPONSORSHIP SCHEMES

(Updated upto 31st May 2020)

HINDUSTAN AERONAUTICS LIMITED
Corporate Office
15/1, Cubbon Road, Bengaluru – 560 001
www.hal-india.co.in

(for Private Circulation Only)

ಆರ್. ಮಾಧವನ್

ಅಧ್ಯಕ್ಷರು ಮತ್ತು ವ್ಯವಸ್ಥಾಪಕ ನಿರ್ದೇಶಕರು

आर. माधवन

अध्यक्ष एवं प्रबंध निदेशक

R. MADHAVAN

Chairman & Managing Director



ಹಿಂದೂಸ್ತಾನ್ ಏರೋನಾಟಿಕ್ಸ್ ಲಿಮಿಟೆಡ್

ಪ್ರಧಾನ ಕಛೇರಿ

हिन्दुस्तान एरोनाटिक्स लिमिटेड

मुख्यालय

HINDUSTAN AERONAUTICS LIMITED

CORPORATE OFFICE



MESSAGE

Employees are the most valuable asset of a Company. The legacy of our Company and its continued success make us the most recognized name in the South East Asian Aviation Industry. The Human Resource function plays an important role in catapulting the Organization on its journey towards achieving excellence.

I am delighted to note that various HR Manuals which are compendium of HR Policies on subjects of Recruitment and Promotion Rules; Conduct, Discipline & Appeal Rules, and Terms & Conditions of Service; Performance Appraisal System, Job Rotations, Training and Sponsorship Schemes; Pay & Allowances; Travelling Allowance Rules & Leave Rules; Welfare Measures, Medical Benefits & Post Superannuation Benefits; Reservation Matters, etc. have been revised & updated.

Employees are required to be well informed about the Rules & Regulations, especially the HR Policies of the Company. The updated Manuals will help the employees to understand the Rules & Policies which helped us to reach where we are today. We strongly subscribe to the principle of transparency in all gamut of activities and the revised HR Manuals would be uploaded on the HAL Website.

My best compliments to the HR Team for being instrumental in bringing out the updated Manuals.

With Best Wishes.


(R.MADHAVAN)

Bengaluru

31st May 2020

15/1, ಕಬ್ಬನ್ ರೋಡ್, ಬೆಂಗಳೂರು - 560 001, ಭಾರತ, 15/1, ಕಬ್ಬನ್ ರೋಡ್, ಬೆಂಗಳೂರು - 560 001, भारत

15/1, Cubbon Road, Bengaluru - 560 001, India

ದೂರವಾಣಿ (ದೂರವಾಣಿ) **Ph.** : +91-80-2232 0105, 2232 0003, ಫ್ಯಾಕ್ಸ್ (ಫೇಕ್ಸ್) **Fax** : +91-80-2232 0240

ಇ ಮೇಲ್ (ಇ) **Email** : chairman@hal-india.co.in

CIN:L35301KA1963GOI001622

ಆಲೋಕ್ ವರ್ಮಾ

ನಿರ್ದೇಶಕರು (ಮಾನವ ಸಂಪನ್ಮೂಲ)

आलोक वर्मा

निदेशक (मानव संसाधन)

ALOK VERMA

Director (Human Resources)



हिन्दुस्तान एरोनाटिक्स लिमिटेड

मुख्यालय

HINDUSTAN AERONAUTICS LIMITED
CORPORATE OFFICE

ಹಿಂದೂಸ್ತಾನ್ ಏರೋನಾಟಿಕ್ಸ್ ಲಿಮಿಟೆಡ್

ಪ್ರಧಾನ ಕಛೇರಿ



FOREWORD

Human Resources can be construed as the foundation for Organizational success, and the pillars that hold them tall would be the various processes that aim at continuous improvement of their performance, which would include Performance Appraisal, Job Rotations, Training & Development Schemes etc. The processes would also enhance Individual and Organizational efficiency. We are now at the threshold of an era that demands readiness to change with evolving Business environments, interactions between man & machine, etc. A robust Performance Appraisal System; Training & Development Schemes / Methodologies; and well thought-out demonstrations of the same would aid in ensuring support of each and every employee to contribute to organizational growth.

In order to provide clarity on the existing Rules on the Company on Performance Appraisal Systems, Job Rotations, Human Resource Development, etc, "HR Manual Book 3 - Performance Appraisal, Job Rotation, Human Resource Development, Training & Sponsorship Schemes" has been updated.

I believe that the clarity brought out by consolidating the Rules will help in developing an innate understanding of the processes amongst all employees, besides those working in the said areas. This Volume contains all amendments and new Rules on the subjects issued up to 31st May 2020. It should, however, be noted that Personnel Circulars and Circulars of Corporate Office will continue to be the authority for all the Rules and Regulations of the Company.

My best wishes and compliments to the Team that contributed to complete the task of updating & preparing this Manual.

Bangalore

31st May 2020

(ALOK VERMA)

15/1, ಕಬ್ಬನ್ ರೋಡ್, ಬೆಂಗಳೂರು - 560 001, ಭಾರತ, 15/1, ಕಬ್ಬನ್ ರೋಡ್, ಬೆಂಗಳೂರು - 560 001, ಭಾರತ

15/1, Cubbon Road, Bangalore - 560 001, India

ದೂರವಾಣಿ (ದೂರವಾಣಿ) Ph.: +91-80-2232 0312, 2232 0409, ಫ್ಯಾಕ್ಸ್ (ಫ್ಯಾಕ್ಸ್) Fax: +91-80-2232 0385

ಇ ಮೇಲ್ (ಇ) Email : dhr@hal-india.co.in

CIN: L35301KA1963GOI001622

CONTENTS

SL. NO.	DESCRIPTION	PAGE NO.
CHAPTER – I		
PERFORMANCE APPRAISAL SYSTEM		
1	Introduction	3
2	Objective	3
3	Performance Appraisal Formats	4
4	Filling up of the Formats	4
5	Mutually Agreed Tasks & Achievements	5
6	Self Appraisal	6
7	Levels of Initiating / Reviewing Authorities	6
8	Assessment of Traits & Scale of Gradation	6
9	Pen Picture (Qualitative Assessment)	8
10	General Assessment & Management Review Categorisation	8
11	Training / Developmental Needs	8
12	Performance Review Board	9
13	Remarks by Higher Authorities	10
14	Performance Appraisal of Officers on Probation	10
15	Special & Split Performance Appraisal Reports	11
16	Assessment Period	12
17	Feedback System	12
18	Procedure for expunging Remarks on Areas for Improvement	13
19	Routing of the Report	14
20	Performance Appraisals of Officers of Vigilance Department	15
21	Performance Appraisal of Officers of Systems Audit Department	15
22	Performance Appraisal of Heads of Finance and HR in the Complexes / Divisions / R&D Centers	16
23	Performance Appraisal of Heads of Integrated Materials Management (IMM) in the Complexes / Divisions / R&D Centers	16
24	Performance Appraisal of Officers in Quality Control Department	17
25	Performance Appraisal of Officers in Information Technology (IT) Department	17

SL. NO.	DESCRIPTION	PAGE NO.
26	Performance Appraisal of Officers who are on Maternity Leave / sponsored / deputed for Higher Studies/ Training etc.	18
27	Performance Appraisal of Officers on Deputation / Retaining Lien	19
28	Maintenance of Performance Appraisal Records	20
29	Check by HRD Cell	21
30	Online MAT & PAR	21
31	Performance Appraisal System – Board Level Incumbents, CEOs, Executive Directors & General Managers (HAL Gr-IX & Above)	28
32	MOU Composite score for writing the Annual Performance Reports (APARs) for Top Management Incumbents of CPSE	53
33	Online PAR System for Top Management Incumbents	54
34	Online System (SPARROW CPSE) for recording Annual Performance Appraisal Reports (APAR) for Board Level Executives of CPSEs	55
35	Probationary Performance Appraisal Reports in respect of GMs / EDs/ CEOs	61
36	Performance Appraisal System - Workmen	62
CHAPTER – II JOB ROTATION		
1	Scope	69
2	Objective	69
3	Identification of Key Positions / Job Rotation Exercise	70
4	Functional Categorization for the Purpose of Job Rotation	70
5	Grouping of Divisions for the Purpose of Job Rotation	71
6	Minimum Exposure of Sections / Departments / Shops required for Promotion	71
7	General Conditions for effecting Job Rotations	72
8	Authorities for effecting Job Rotations	74
9	Inter Divisional Transfer requests on Personal / Compassionate Grounds	75
10	Change of Postings of Management / Design Trainees	77
11	Job Allocation in respect of Officers who are Inducted as Design Trainees	78
12	Job Rotation / Transfer in respect of Employees working in the Vigilance Department	78

SL. NO.	DESCRIPTION	PAGE NO.
13	Job Rotation / Transfer in respect of Employees working in Sensitive Areas	79
14	Posting of PAs / JEAs / EAs in the Offices of AGMs / GMs and above and other Sensitive Departments	84
15	Posting of Technical Manpower to Systems Audit	85
16	Posting of Officers as Head of Quality Department	86
17	Disciplinary Authority in respect of Transferred Employees	86
18	Succession Planning for Posts in Grade-IX (General Manager or Equivalent Level) & above	86
CHAPTER – III TRAINING		
1	Introduction	93
2	Training Activities at HAL Management Academy (HMA)	94
3	Governing Council (Learning & Development)	107
4	Technical Training Institutes / Centres	108
5	External Training Programmes	112
6	Submission of proposals for Training within India / Abroad	119
7	Submission of Reports on completion of Deputation of Employees to Foreign Countries	119
8	Sharing of experience of Officers nominated for Training Programmes	121
9	Skill Development of Personnel in the Non-Executive Cadre (Workmen)	122
10	Training Policy for Directors / CEOs of HAL	128
CHAPTER – IV SPONSORSHIP FOR HIGHER STUDIES		
1	Introduction	133
2		
3	Sponsorship Schemes	133
4	Deputation to Post Graduate Courses / Programmes in Technical and Management Disciplines – Employees seeking Sponsorships	135

SL. NO.	DESCRIPTION	PAGE NO.
5	Sponsorship for MS (by Research), M.Sc (Engineering) by Research and Ph.D Programme (Through External Registration) at Indian Institute of Science (IISc), Bangalore and Indian Institutes of Technology, Kharagpur, Kanpur, Madras, Delhi & Mumbai (Specifically for Officers in the Design Discipline from the R & D Centers)	138
6	Sponsorship for MS (by Research), M.Sc (Engineering) by Research and Ph.D Programme (Through External Registration) at Indian Institute of Science (IISc), Bangalore and Indian Institutes of Technology, Kharagpur, Kanpur, Madras, Delhi & Mumbai and Ph.D.Programme From IIMs / MDI Gurgaon / IMI Delhi / XLRI Jamshedpur, etc (for Officers from Disciplines other than Design)	142
7	Sponsorship to Post Graduate Courses (M.Tech / M.E) at IITs / BITS, Pilani	146
	Sponsorship to Post Graduate Courses (M.E / M.Tech) at DIAT, Pune	151
8	Sponsorship to Post Graduate Programme in Public Policy and Management (PGPPM) at IIM, Bangalore	152
9	Sponsorship to Executive PGDM of Management Development Institute, Gurgaon – National Management Programme	155
10	Sponsorship to Executive Post Graduate Diploma in Management at The International Management Institute, New Delhi	161
11	Sponsorship to Post-Graduate Courses at Cranfield University, UK	164
12	Degree in Engineering from Birla Institute of Technology (BITS) under the Distance Learning Programme	168
13	Grant of Study Leave	174
14	Execution of Agreement	175
15	Other General Rules applicable during Training / Sponsorship	183
16	Allowing Students to do Project Work / Internship / Inplant Training / Summer Training / On The Job Training/ Familiarisation Study in HAL	184
17	Scheme to allow ME / M.Tech and Ph.D students to do specialized Projects	189
18	Scheme to allow Students of Institute of Company Secretaries of India (ICSI) / Institute of Cost Accountants of India / Institute of Chartered Accountants of India (ICAI) to do Industrial Training in the Company	190

ANNEXURES

ANNEXURE NO.	DESCRIPTION	PAGE NO.
PERFORMANCE APPRAISAL SYSTEM		
I	Performance Appraisal Report Format – Gr I & II	197
II	Performance Appraisal Report Format – Gr III & IV	205
III	Performance Appraisal Report Format – Gr V & VI	214
IV	Performance Appraisal Report Format – Gr VII & VIII	223
V	Mutually Agreed Tasks Format	232
VI	Illustrative Help Matrix	233
VII	Activity chart - Performance Appraisal System	240
VIII	PAR Format – CEOs, Executive Directors & General Managers (below Board level)	241
IX	Performance Appraisal Report Format – Unskilled Workmen	256
X	Performance Appraisal Report Format – Direct Workmen	257
XI	Performance Appraisal Report Format – Indirect Workmen	259
XII	Brief Description of Traits – Workmen Appraisal	261
JOB ROTATION		
XIII	Career Planning Profiles (Job Rotation & Succession)	262
XIV		263
XV	Application for approval of Quality Head	264

ANNEXURE NO.	DESCRIPTION	PAGE NO.
XVI	List of Identified Critical Positions in Gr IX & above	266
XVII	List of positions that can be operated at lower Levels	267
TRAINING		
XVIII	Schedule of Training of Management Trainees / Design Trainees	268
XIX	Undertaking / Agreement Format - Management Trainees / Design Trainees	269
XX	Programme Syllabus Executive Post Graduate Diploma in Aviation Management	277
XXI	Quarterly Report Format - Employees deputed for Training during the Quarter	281
XXII	Nomination Form for deputing HAL Personnel for Training abroad / within India	282
XXIII	Feedback Format – Employees returning from Deputation to Foreign Countries	285
XXIV-A	Mapping of Skill Cluster with Trades	287
XXIV-B	Skill Training Modules : Nipun & Praveen	290
XXIV-C	Process model of Skill Development Management System (SDMS)	291
XXIV-D	Roles and Responsibilities - Skill Development Unit	292
XXV	Police Verification Format – Project Work / Training / Study	294
XXVI	Undertaking / Indemnity Bond – Project Work / Training / Study	295

CHAPTER I
PERFORMANCE APPRAISAL SYSTEM

PERFORMANCE APPRAISAL SYSTEM OFFICERS UPTO & INCLUDING GRADE-VIII

1 INTRODUCTION

1.1 A Performance Appraisal System is a strong tool in the development of Human Resources in an Organization. It is considered as a feedback system to provide the Management information about its personnel so as to assist in taking appropriate decisions on Career Planning, Manpower Planning and other Human Resources Development activities such as Training, Job Rotation etc. The current Performance Appraisal System has been in operation in the Company from 2000-01.

1.2 PARs are being filled Online from the year 2013-14.

1.3 An effective Performance Appraisal System demands:

- a) A realistic assessment / evaluation of the performance of an individual during the reporting period;
- b) Accurate assessment of capabilities / potential of an individual for advancement in one or more functional areas;
- c) Identification of developmental actions to be taken to enhance the performance of an individual;
- d) An accurate database for Job Rotations, Job allocations, selection of suitable personnel for new Jobs, Project Groups, Task Forces etc. and
- e) A high level of confidence among the employees about the purposiveness of the system.

1.4 The performance appraisal system is not meant to be a disciplinary tool. The correct attitude would be to regard it as a collaborative device which enables an appraiser in his capacity as a superior to continuously take his subordinates into confidence, guide them and tell them where they are falling below expectations so that areas for improvement, if any, communicated to them would not be an unpleasant surprise.

2 OBJECTIVE:

2.1 The objective of the Performance Appraisal System is to assess the effectiveness, potential, developmental needs and career stretch of the individual for the Management to

formulate HRD programs and to meet the Organizational needs.

3 PERFORMANCE APPRAISAL FORMATS:

Reference:
PC No.651 dated 08.08.2000

3.1 There are four Formats for different levels of Officers, as indicated below:

Level - I	Grades I & II	Enclosed as Annexure - I
Level - II	Grades III & IV	Enclosed as Annexure - II
Level - III	Grades V & VI	Enclosed as Annexure - III
Level - IV	Grades VII & VIII	Enclosed as Annexure - IV

4 FILLING UP OF THE FORMATS:

4.1 The Formats comprise of nine major Parts, as under:

PART	CONTENTS	TO BE FILLED BY
Cover page	Bio-data of the Appraisee	Appraisee
Part - A	Quarterly Tasks Setting and Assessment	Appraisee & IA
Part - B	Self Appraisal. Comments on Self Appraisal & Integrity	Appraisee IA & RA
Part - C	Assessment of Traits	IA & RA
Part - D	Qualitative Assessment of the Appraisee (Pen picture)	IA & RA
Part - E	General Assessment and Management Review Categorization	IA & RA
Part - F	Training and Developmental Needs	IA & RA

PART	CONTENTS	TO BE FILLED BY
Part - G	Evaluation by Performance Review Board. Remarks of Higher Authorities	PRB GM/ED/CE O/FD/ CMD
Part - H	Illustrative list of Areas for Training	-
Part - I	Check List	HRD Cell

5 MUTUALLY AGREED TASKS & ACHIEVEMENTS:

5.1 The Performance Appraisal System envisages setting up Mutually Agreed Tasks between the Appraiser and the Initiating Authority (IA). The set Tasks would be recorded on the Mutually Agreed Task Setting and Assessment Sheets. Specimen Format of the MAT is enclosed as Annexure-V. At the time of setting the Tasks, the IA may consult the RA also.

5.2 Quarters for the purpose of PARs are as follows:

Quarter	Period
I	1 st April to 30 th June
II	1 st July to 30 th September
III	1 st October to 31 st December
IV	1 st January to 31 st March

5.3 Task setting for each Quarter would be done, in the Online PAR system, jointly by the Appraiser and the IA, by the 7th of the first month of each Quarter. The Maximum Marks of 100 would be distributed among all the Tasks based on their relative weightage / importance.

5.4 The Tasks set should, as far as possible, be Quantitative or measurable, either in terms of Quantity or time limits.

5.5 The IA would evaluate the Performance of the Appraiser by the 7th of the 1st month of the subsequent Quarter, after joint discussion with the Appraiser, against the set Tasks and will award the Marks for each Task, keeping in view the maximum Marks decided for each Task at the beginning of the Quarter. The Tasks need to be jointly evaluated and Marks made known to the Appraiser.

6 SELF APPRAISAL:

- 6.1 All Officers should assess themselves in Part-B (B1, B2 & B3) of the Appraisal Format. Self Appraisal is aimed at providing the Officers an opportunity to assess their performance against Mutually Agreed Tasks. Self Appraisal should be brief and to the point.
- 6.2 Comments on the Self Appraisal by the IA & RA are to be made in the space provided (Parts B.4 & B.5). Self Appraisal by Officers should also be taken into account by the IA and RA, while making the assessment in Part-C of the Format.

7 LEVELS OF INITIATING / REVIEWING AUTHORITIES:

- 7.1 Levels of the IA and RA for Officers in various Grades would be as follows:

Grade of Appraisee	Initiating Authority	Reviewing Authority
I / II	Minimum Grade III or above	Minimum Grade V or above
III / IV	Minimum Grade V or above	Minimum Grade VI or above
V / VI	Minimum Grade VII or above	Minimum Grade VIII or above
VII / VIII	Minimum Grade IX or above	Minimum Grade X or above

- 7.2 While the levels of the IA & RA, in general, should be as above, if the Appraisee is reporting to Officers at lower levels, the IA & RA can be in lower Grades also.
- 7.3 In the case of Officers who are directly reporting to Senior Executives in Grades VII / VIII / IX / X / CEO / FD / CMD and where there are no intermediate Officers, the concerned Senior Executive will be the IA / RA, except in cases which have been specifically mentioned.

8 ASSESSMENT OF TRAITS & SCALE OF GRADATION:

- 8.1 Skills required to be possessed by an Officer vary as he moves from one level to the next. Keeping this aspect in view, separate set of Traits against which Officers are to be assessed have been devised. Assessment of the Traits have to be made in Part C.1 of the Format, indicating Marks scored for each Trait, out of the maximum Marks allotted for each Trait, both by the IA and the RA.

8.2 For the first Trait (Performance), Marks awarded by IA will be the equivalent percentage (%) of the average Marks for the year / period awarded by him in Part A. For example, if the average Marks awarded by the IA in Part-A for a year is 70 out of 100, Marks against 'Performance' in Part –C.1 for an Officer in Grade I/II will be 56 (i.e 80 % of 70). In case the Marks awarded by the RA vary from that awarded by the IA, the RA will indicate justifications for such variation in Part-C.1.1 of the Format. For the remaining Traits, the IA & RA have to award Marks individually out of the maximum Marks indicated against each Trait.

8.3 To remove ambiguity and difference in interpretation and understanding, each Trait has been defined in Part-C.1 of the Format. Further, the illustrative Help Matrix at Annexure-VI could also be used for guidance, in general, for awarding Marks against each Trait (other than Performance).

8.4 **Scale of Gradation:**

TOTAL MARKS	100-90	89-80	79-50	BELOW 50
Performance Rating	Exceptional	Above Average	Average	Below Average

Overall performance rating by the PRB will be based on the above Scale of Gradation.

Reference:
HAL/P & A/43(1)/07 dated 07.04.2007

8.5 The following Performance Rating and Overall Marks, in respect of each Grade are to be followed, while finalizing the PARs:

Performance Rating	Overall Marks	% of Officers
Exceptional	90 to 100	upto 5%
Above Average	85 to 89 80 to 84	upto 10% upto 10%
Average	50 to 79	upto 65%
Below Average	Below 50	upto 10%

The required moderation in the records is to be effected by the Performance Review Board in each Division / Office / Complex.

9 PEN PICTURE (QUALITATIVE ASSESSMENT):

9.1 Both the IA & RA have to give a brief description of the Appraisee at Part-D of the Format, as Pen Picture.

9.2 The Pen Picture should be written carefully highlighting all aspects of the personality of the Appraisee. By reading the Pen Picture, one should be in a position to get a clear picture about the Appraisee, his effectiveness and his personal qualities. The IA & RA should use this part of the Appraisal Report to narrate about the Traits of the Appraisee that are not covered under specific Traits under Part C.1.

10 GENERAL ASSESSMENT & MANAGEMENT REVIEW CATEGORISATION:

10.1 The IA and RA have to indicate the Strengths and Areas requiring Improvements in respect of the Appraisee with reference to his performance at Part-E of the Format. This will enable the PRB to get a balanced picture about the Appraisee and would also facilitate positive HRD interventions.

10.2 Both the IA and RA have to indicate the "Management Review Categorization" of the Appraisee, which forms the Potential Assessment area of the Performance Appraisal System, as follows:

Cat – A: An Officer who has high degree of potential for advancement;

Cat – B: An Officer who has potential for limited advancement;

Cat – C: An Officer who has no potential for advancement.

10.3 While indicating the Management Review Categorization, the IA & RA should take into account the educational qualifications of the Appraisee, variety and richness of experience, Job knowledge, effectiveness, personal qualities and his performance on various assignments.

10.4 This assessment should also be made for Officers on probation.

11 TRAINING / DEVELOPMENTAL NEEDS:

11.1 Both the IA and RA should indicate specific areas to which the Appraisee should be job rotated as well as training to be given to prepare him for future advancements. An illustrative list of

areas for Training and Development is at Part-H of the PAR Format.

12 PERFORMANCE REVIEW BOARD:

12.1 Performance Review Board will be constituted at the Divisional / Complex / Corporate level for determining the Final Marks / Performance Rating of the Appraisee, taking into consideration the assessment made by the IA & RA. The PRB will consult the IA & RA, wherever necessary, if they are not members of the PRB.

12.2 Chairman and Members of the PRB would be as indicated below:

LEVEL	GRADE	CHAIRMAN OF PRB	MEMBERS OF PRB
I	I / II	Senior most AGM / DGM in the Division / Office / Center	Other AGMs / DGMs / HODs in the Division / Office / R & D Center & HR Representative
II	III / IV	ED / GM / Divisional / Office / Center Head	AGMs / DGMs / HODs in the Division / Office / R & D Center & HR Representative
III	V / VI	FD / CEO	ED / GMs of the Divisions / Offices / R & D Centers & HR Representative
IV	VII / VIII	CMD	FDs / CEOs

12.3 Constitution of the Divisional PRBs in respect of Officers in Grades- I / II and III / IV, as at Para 12.2 above, are illustrative only and the Divisions can constitute and notify the PRB, each year, based on the above guidelines.

12.4 In respect of Complex Offices, FDs /CEOs will be the Chairman of the PRB for Officers in Grades I to IV also.

12.5 In respect of Officers in Grades I to VI of Corporate Office, Director (HR), Director (Operations), Director (Finance) and General Manager (HR) will be the Members of the PRB. The senior most Director will be the Chairman of the PRB.

- 12.6 The Marks and Performance Rating awarded by the PRB would be final.

Reference:
HAL/P&A/43(8)/07 dated 04.05.2007

- 12.7 In respect of Officers in Grades I to IV working in the Systems Audit Department, the PRB would be conducted at the Divisional level. For Officers in Grades V & VI, it would be done at the Complex level and for the Officers in Grades VII & VIII, it would be done at Corporate level. During the meeting of the PRB, the Head of Systems Audit Department would also be a co-opted Member at Divisional / Complex level for discussions on PARs pertaining to the Officers of Systems Audit Department reporting to him.

13 REMARKS BY HIGHER AUTHORITIES:

- 13.1 GMs / EDs / CEOs / FDs / CMD would indicate their general remarks in Part -G of the Format.

14 PERFORMANCE APPRAISAL OF OFFICERS ON PROBATION:

- 14.1 Two Performance Appraisals are to be submitted, one at the end of the sixth month and the other at the end of the eleventh month of the Probationary period of Officers. Formats to be used and system to be followed for filling up the Formats would be the same as in respect of Annual Reports.
- 14.2 Probationary Performance Appraisal Reports would not be put up to the Performance Review Board. Marks / Performance Rating awarded by the RA would be final in respect of these Reports. These Reports would, however, be put up to the Higher Authorities for their remarks at Part G.
- 14.3 The RA should ensure that the Sixth and Eleventh monthly Reports are submitted to the HRD Cell within seven (7) days of the completion of the sixth and eleventh monthly periods.
- 14.4 The sixth / eleventh monthly Performance Appraisals would be the basis for Confirmation of Officers appointed / promoted. The report should therefore indicate the suitability or otherwise of the Officer for Confirmation by the Competent Authority, in the eleventh monthly report.

Reference:
HAL/HR/43(2)/16 dated 19.12.2016

- 14.5 The procedure to raise PARs in respect of Officers who avail Maternity Leave during the probationary period is indicated below, with an Example:

An Officer was promoted to higher Grade w.e.f. 1.7.15 and assumed charge of the promoted post w.e.f. 15.10.15. The 1st probationary period was 15.10.15 to 14.4.16 and 2nd probationary period was from 15.4.16 to 15.9.16. The Officer was due for confirmation w.e.f. 15.10.16;

The Officer had proceeded on Maternity Leave from 14.3.16 to 9.9.16 (i.e. during the Probationary period), and reported back to duty w.e.f. 10.9.16. The first probationary PAR was submitted by the Officer on return from the leave. In the instant case, it was clarified that the second probationary PAR needs to be raised from the date of her reporting back to duty after Maternity Leave (i.e. 10.9.16 to 9.2.17). Based on the performance during this period, the Officer could be confirmed from the original due date of confirmation (i.e.15.10.16) or otherwise.

15 SPECIAL & SPLIT PERFORMANCE APPRAISAL REPORTS

Reference:
HAL/HR/43(2)/17 Dt. 23.05.2017

- 15.1 On promotion of Officers in Grades I to VII to the next higher Grade, their Performance Appraisal Reports are to be raised from the date of assumption of charge of the promoted Post / Grade. Two Probationary PAR Reports i.e 6 monthly and 11 monthly are to be submitted. After completion of the Probationary period, if the balance period is 3 months or more, the split PAR would be raised up to 31st March of that year.
- 15.2 No PAR will be raised if the Assessment period is 3 months or less. However, MAT will be raised for each and every Quarter;
- 15.3 After submission of Annual PAR, no split PAR will be raised in the lower Grade for the period prior to the date of promotion, if the period is 03 months or less. However MATs will be raised;
- 15.4 If the split period is more than 3 months, PAR for the Split period will be raised along with MATs;

- 15.5 In cases of Officers who superannuate, retire under ORS, resign from the services of the Company etc. during the year, PAR till that date (i.e. date of leaving) are required to raised and filled up (where the period is more than 3 months). The respective HR Heads will be responsible to ensure that PARs in respect of such officers are duly filled in and completed in all respects, before the Officer is relieved from the Company;
- 15.6 A column will be filled in the “No Dues Certificate” Format raised before the release of Employees, confirming submission of PARs & MATs by the Officer concerned till the date of release. This column would be endorsed by the concerned HoD and the HR Officer in-charge for PAR matters in the Division/Office.
- 15.7 In cases where the PARs/ MATs are not submitted by Officers who superannuate, retire under ORS, resign from the services of the Company etc. during the course of the year, release of their terminal benefits (other than statutory ones) will be held back. Similarly, in cases of IAs/RAs superannuating in March, release of their terminal benefits (other than statutory ones) will be held back, in cases where they have not completed the PARs in respect of all their subordinates as specified at Para 15.5 above.

16 ASSESSMENT PERIOD:

- 16.1 The activity chart on the operation of the Performance Appraisal System is indicated at Annexure-VII.

17 FEEDBACK SYSTEM:

- 17.1 All Officers who have scored final Marks of “below 50” and rated as “Below Average” would be intimated in writing about the same, through the concerned Division / Office, as follows:

Officer in Grade	To be intimated by
VII / VIII	Corporate Office
V / VI	Complex Office
I to IV	Division / Office / R&D Center

This communication would be signed by the Head of the HR Department at Corporate Office / Complex Office / Division / Office / R&D Center.

- 17.2 In addition to the above, Oral feedback by the Appraisers, to the Appraisee, on his performance, should be an ongoing process. It is necessary to encourage progress and correct

mistakes. The Appraisee should be encouraged and the areas requiring immediate attention for improving his performance should be highlighted.

17.3 The Initiating Authority should inform the Appraisee in writing as and when the need arises.

17.4 The feedback will be given to Officers, covering Strengths as well as Weakness / Areas requiring Improvements, in writing. This will be done immediately after reviewing by the Performance Review Board in the Division / Office, but before processing Promotions. HRD Cell should ensure communication of the same. Such communication would be issued as follows:

a) For Officers up to and including Grade IV:

The HRD Cell of the respective Divisions / Offices would identify the cases where feedback is required and would ensure that necessary communications are issued to the Officers, through the IA / RA.

b) For Officers in Grades V & VI:

The HRD Cell of the Complex Office will identify the cases where feedback is required to be given and would communicate the same to the Officers concerned through the concerned Division / Office.

c) For Officers in Grades VII & VIII:

Corporate Office will identify the cases where feedback is required to be given and would communicate the same to the Officers concerned, through the concerned Division / Office, with a copy to the Complex Office.

18 PROCEDURE FOR EXPUNGING REMARKS ON AREAS FOR IMPROVEMENT:

18.1 If an Officer is aggrieved by the communication for improvements in certain Areas / Traits as reflected in his Performance Appraisal Report, he could represent against the same.

18.2 The Authorities competent to consider and dispose-off the representation would be as follows:

Officers in Grade	Competent Authority
I / II / III / IV	Concerned EDs / GMs
V / VI	Concerned FD / CEO
VII & VIII	CMD

- 18.3 Competent Authority as above would examine such representations on the basis of the relevant records and material available and may also consult the IA / RA. If the Competent Authority is convinced that the observation was unjustified, he may order expunging such observation from the Officer's Report.
- 18.4 Where the ED / GM himself is the IA / RA, the Functional Director / Chief Executive Officer will be the Competent Authority to dispose the representation and the CMD will be the Competent Authority if the IA / RA is the Functional Director / CEO.
- 18.5 Suitable remarks to the effect that such observations have been expunged are to be made by the Competent Authority in the Performance Appraisal Report, at the place where the Remarks are expunged.
- 18.6 The Officer concerned would be intimidated about expunging the remarks or otherwise, by the HRD Cell of the concerned Division / Complex / Corporate Office.

19 ROUTING OF THE REPORT:

Reference:
HAL/HR/43(2)/14 dated 22.04.2014

- 19.1 On introduction of Online Performance Appraisal Reports (PAR) System for Officers upto VIII across the Company from the year 2013-14 onwards, PAR of Officers are released in Online system for all the Officers upto Gr-VIII by the respective HR Department in the Divisions/ Offices.
- 19.2 Routing of PAR to different levels, closing, managing & maintaining of the PARs of Officers in Grades – I to IV is to be done by the respective HR Department of the Division/ Office.
- 19.3 PARs of Officers in Grades -V & VI are to be routed by the Divisions to the respective Complex Office. HR Department of the Complex will close, manage and maintain the PARs in Online PAR Portal. In respect of Officers in Grades – VII & VIII, Corporate Office will release and route the PARs to Complex Head/ Functional Head & CMD, as the case may be. The

PARs of Officers in Grades – VII & VIII will be maintained by Corporate Office.

20 PERFORMANCE APPRAISALS OF OFFICERS OF VIGILANCE DEPARTMENT:

20.1 Performance Appraisal of Officers in the Vigilance Department will be raised as indicated below:-

- a) Chief Vigilance Officer (CVO), Corporate Office, will be the IA in respect of Heads of Vigilance Departments in the Divisions / Offices / R&D Centers.
- b) Chief Vigilance Officer (CVO) will also be the RA in respect of Heads of Vigilance Department in the Divisions / Offices up to and including Grade V. CMD will be the RA in respect of Heads of Vigilance Department in Grade VI & above.
- c) In respect of Officers of Vigilance Department who are working under the Heads of Vigilance in each Division / Office, CVO would be the RA. In respect of such Officers in Grade VI and above, CMD would endorse his views in Part- G.4 of the Format.
- d) After the Reports are filled in as at (i) to (iii) above, CVO would also complete the column of Evaluation by Performance Review Board (PRB) at Part - G of the Report.
- e) Completed Reports as at (i) to (iv) would be retained in the Office of CVO, Corporate Office.
- f) Administratively, Heads of Vigilance in each Division / Office would continue to report to the concerned ED / GM.

21 PERFORMANCE APPRAISAL OF OFFICERS OF SYSTEMS AUDIT DEPARTMENT:

References:

1. HAL/P&A/43(2)/4/882 dated 09.07.2004
2. HAL/P&A/43(8)/05 dated 10.03.2005

21.1 DGM / AGM (SYA), CO and AGM / GM (SYA), CO will be the IA and RA respectively in respect of Heads of Systems Audit in the Divisions upto Grade VI.

21.2 Head of Systems Audit in the Divisions would be the IA and DGM / AGM (SYA), CO would be the RA in respect of Officers

working under the Heads of Systems Audit in the Divisions. For such Officers, AGM / GM (SYA), CO would endorse his views in Part G of the Format.

- 21.3 DGM / AGM (SYA), CO and AGM / GM (SYA), CO would be the IA and RA respectively in respect of Officers working in Systems Audit Department at Corporate Office upto Grade VI.
- 21.4 AGM / GM (SYA), CO and CMD would be the IA and RA respectively in respect of DGM / AGM (SYA), CO and CMD would be the IA and RA in respect of AGM / GM (SYA), CO.
- 21.5 Completed Reports would be sent back to the Divisions / Offices by the Head of Systems Audit at Corporate Office, for retention.
- 21.6 PARs in respect of Systems Audit Officers are maintained and monitored as follows:

Grade	PAR Dossier Maintained by
I & II	Divisions / R&D Centers
III to VI	Complex Office
VII & VIII	Corporate Office

- 21.7 Administratively, Heads of Systems Audit Cells in the Divisions / Offices would continue to report to the concerned ED / GM.

22 PERFORMANCE APPRAISAL OF HEADS OF FINANCE AND HR IN THE COMPLEXES / DIVISIONS / R&D CENTERS:

- 22.1 In respect of Heads of Finance and HR in Grades - VII and VIII in the Complex Offices, concerned Director/ CEO would be the IA and CMD would be the RA. In respect of such Officers in Grade-VI and below, concerned Director / CEO would be the IA and RA. In respect of Heads of Finance and HR in the Divisions, ED / GM would be the IA and concerned Director/ CEO would be the RA. In all such cases, the concerned Functional Director at Corporate Office would indicate his Remarks at Part - G of the Format.

23 PERFORMANCE APPRAISAL OF HEADS OF INTEGRATED MATERIALS MANAGEMENT (IMM) IN THE COMPLEXES / DIVISIONS / R&D CENTERS:

Reference: HAL/HR/43(4)/13 dated 04.04.2013
--

- 23.1 Performance Appraisal Reports of Heads of IMM in the Divisions, irrespective of their Grades, shall be routed as

follows, to assess their Performance and Professional obedience:

- a) Divisional Head will be the Initiating Authority (IA);
- b) CEO would be the Reviewing Authority (RA);
- c) Head of the Division shall forward the PAR to Head of IMM at Corporate Office;
- d) Head of IMM, CO shall put up the Report to Director (Finance) with his/her remarks & observations;
- e) After the perusal of Director (Finance), the PARs will be sent to the Office of respective CEOs for his perusal, for further processing, as per the guidelines.

24 PERFORMANCE APPRAISAL OF OFFICERS IN QUALITY CONTROL DEPARTMENT:

Reference:
HAL/HR/46(10)/2013 dated 17.10.2013

- 24.1 Quality Heads at the Divisions would report to the Divisional Head for all administrative matters;
- 24.2 Divisional Quality Head is functionally responsible to Corporate Quality Head to ensure that the Directives issued by Corporate Quality Head are mandatorily implemented by them;
- 24.3 Divisional Quality Head's PAR is to be assessed by Divisional Heads as Initiating Authority (IA) and reviewed by Head of Quality at Corporate Office as Reviewing Authority (RA). However, if the Divisional Heads are Senior to Head of Quality at Corporate Office, then Head of Quality at Corporate Office will be Initiating Authority (IA) and the Divisional Head will be Reviewing Authority (RA).

25 PERFORMANCE APPRAISAL OF OFFICERS IN INFORMATION TECHNOLOGY (IT) DEPARTMENT:

Reference:
HAL/HR/43(4)/14 dated 19.03.2014

- 25.1 Performance Appraisal Reports in respect of all Officers working in IT Departments in the Divisions, irrespective of their Grades, will be coordinated, initiated & reviewed as follows:

- a) In case of Heads of IT reporting to the Divisional Head, the PARs will be forwarded to Head of IT at Corporate Office for co-ordination, before the Initiating Authority (IA) initiates the Report. Head of IT Corporate Office will endorse his remarks in the specified column in the Format. After co-ordination by Head of IT, Corporate Office, the Report will be sent back to the Division for assessment by the IA and further processing;
- b) In case Head of IT, Corporate Office is senior to Head of the Division / Office, Head of the Division / Office will initiate the PAR as IA and Head of IT, Corporate Office will co-ordinate the PAR in the specified column and forward the same to the concerned Complex Office for review by the RA;
- c) In case Head of IT in the Division is not reporting to the Divisional Head and is reporting to another Officer, the Report will be initiated by the IA and forwarded to Head of IT, Corporate Office for co-ordination in the specified column in the Format. Thereafter, the Report will be put up to the Divisional Head for review as RA;
- d) In case of other Officers of the IT Department, the PARs will be initiated by the Head of IT in the Division / Office and forwarded to Head of IT Corporate Office for co-ordination in the specified column in the Format. After co-ordination, the same will be sent back to the Division for review by RA. In case Head of IT Corporate Office is senior to the Head of the Division / Office, he will review the PAR after the Report is seen by the Divisional Head.

26 PERFORMANCE APPRAISAL OF OFFICERS WHO ARE ON MATERNITY LEAVE / SPONSORED / DEPUTED FOR HIGHER STUDIES/ TRAINING ETC.:

References:

1. HAL/P & A/27(1)/MPA/98 dated 03.01.1998
2. HAL/HR/27(1)/2019 dated 23.05.2019

- 26.1 Female employees are to be granted Maternity Leave for a maximum period of 26 weeks. Promotion of such Officers would be considered based on PARs of the relevant periods, including the duration of Maternity Leave. The period of Maternity Leave is treated as entitled Leave (with Pay) and such periods are not evaluated for the purpose of Assessment.
- 26.2 No Performance Appraisal Reports (PAR) would be raised during the period of Sponsorship / Deputation for Higher

Studies / Training or Study Leave. However, if the Officer is available for duties for a part of the year (i.e more than 3 months), the PAR for that period would be raised and the same would be considered for the full year, for the purpose of promotion.

- 26.3 In respect of year(s) for which PARs are not available, the overall Gradation of the year for which PAR was raised last would notionally be taken as the Gradation for the concerned year(s), for the purpose of considering such Officers for promotion.

Example: PARs of 2017-18, 2018-19, 2019-20 are to be reckoned for considering an Officer for promotion to Grade-III. However, no PARs were raised during 2017-18 and 2018-19 as the Officer was deputed for higher studies. Gradation for the year 2016-17 was 86. Accordingly, Gradation for 2017-18 and 2018-19 would be reckoned as 86 for the purpose of considering him for promotion.

- 26.4 In respect of Officers who are Sponsored / Deputed for Higher Studies / Training or granted Study Leave, during the probation, the probationary period of 12 months would be reckoned covering the period, which such Officers would already have served in the promoted post prior to sponsorship / deputation for higher studies / Training or grant of study leave and the balance period after joining back for duties. Such Officers who are deputed / sponsored for higher studies / training would be eligible for Annual Increments every year, irrespective of the fact that they have not been confirmed. Annual Increments already granted to such Officers, pending Confirmation, would be re-adjusted, if necessary, depending upon the date of Confirmation.

Example: An Officer who was promoted w.e.f. 1.7.14 was deputed for higher studies during the period 10.10.14 to 9.10.16. The probation period in his case would be from 1.7.14 to 9.10.14 and again from 10.10.16 to 31.12.16 (i.e. excluding the period 10.10.14 to 9.10.16 during which he is undergoing higher studies).

27 PERFORMANCE APPRAISAL OF OFFICERS ON DEPUTATION / RETAINING LIEN:

- 27.1 The Performance Appraisal of Officers on Deputation to the Company from the State / Central Government and other PSUs and / or Officers retaining lien in their parent Organization are to be raised in the prescribed Performance Appraisal Form of the respective State / Central Government and other PSUs concerned, for the respective assessment period of the parent

Organization and forwarded to the respective parent Organization. The Annual Appraisal Reports of Service Officers on deputation, from Indian Air Force, Indian Navy & Indian Army are to be raised in the prescribed Confidential Report Forms of the respective Force.

- 27.2 In the case of Air Force Officers on deputation to HAL as Test Pilots, the following would be the appraisal channel in the prescribed Format of Indian Air Force:

Appraisal Channels for Officers on deputation to HAL

HAL Bangalore	IO	RO	SRO
TP 1 & 2 / Non TP	Dy. CTP (FW/RW), HAL, Bangalore	CTP (FW/RW), HAL, Bangalore	ACAS (Plans)
HAL, Nasik			
STP & TPs of same Rank of STP	ED/GM, HAL, Nasik	CTP(FW), Bangalore	ACAS (Plans)
Other TPs (Junior in Rank to STP Nasik)*	STP, HAL, Nasik	ED / GM, HAL Nasik	ACAS (Plans)
HAL, Kanpur			
STP & TPs of same Rank as STP	ED/GM, HAL, Kanpur	CTP(FW), Bangalore	ACAS (Plans)
Other TPs (Junior in Rank to STP Kanpur)*	STP, HAL, Kanpur	ED / GM, HAL Kanpur	ACAS (Plans)

* CTP (FW), Bangalore will endorse his remarks on the Report after the RO fills up the Report.

28 MAINTENANCE OF PERFORMANCE APPRAISAL RECORDS:

- 28.1 An upto-date bio-data of the Officers should be kept as the first sheet in the Performance Appraisal Records of each Officer. A recent Passport size Photograph should also be affixed on the inside front of the Performance Appraisal Records (the details are maintained in the Online PAR System from the year 2013-14 onwards).

28.2 The inside of the front cover of the Performance Appraisal Records should contain a summary of assessment in the following Format:

Annexure No	Assessment period	Overall Gradation / Marks / Performance Rating

28.3 This summary will provide at a glance, the Gradation / Marks / Rating given to the Officer right from the beginning of the service.

29 CHECK BY HRD CELL:

29.1 Part-I of the Performance Appraisal provides a check list to be checked and signed by the Officer in charge of the HRD Cell. The Officer checking the filling of the form should check for discrepancies / inconsistencies, if any, and guide the Appraisers so that the Appraisal System serves the purpose for which it is instituted.

30 ONLINE MAT & PAR:

<p>References: 1. HAL/HR/43(2)/13 dated 19.06.2013 2. HAL/HR/43(2)/14 dated 22.04.2014</p>

30.1 Filling up of Mutually Agreed Tasks (MAT) and submission of Performance Appraisal Reports (PAR) in the prescribed Format, in respect of Officers in Grades I to VIII was reviewed during 2013 and an Online System has been introduced in the Company to fill the MAT & PAR. Accordingly, all Officers are required to fill their MAT & PAR only through Online except in cases where it is specifically permitted.

30.2 Salient Features of the Online System are as under:

- a) Online Mutually Agreed Tasks (MAT) System was introduced across the Company w.e.f 1.7.13, in respect of Officers in Grades IV to VIII. The same was extended to Officers in Grades I to III w.e.f. 1.10.13;
- b) MAT/PAR can be filled online by logging in Single Sign-on [<http://172.128.198.198/hss/>]. Officers need to register themselves for log in, at the first instance;
- c) Online MAT system has been designed keeping in view the existing MAT format where Appraise can set Tasks

for each Quarter and IA can evaluate the same in Online. The time limit prescribed for setting the Tasks by the Appraisee and evaluation by the Appraiser are to be followed strictly. Online PAR can be filled, only on completion of evaluation of MAT, as both are inter linked;

- d) Online Performance Appraisal System has been introduced across the Company effective from the Assessment Year 2013-14;
- e) Online PAR system is designed based on the existing Format where Appraisee can fill his PAR online and evaluation by IA / RA / Top Management etc., can also be done online. PARs will be released online by HR as and when required. Routing to Top Management, PRB etc will also be done by HR;
- f) The details of Officers, career growth etc will flow from IFS. Marks for the first Attributes (i.e Performance) under Part C of the PAR will also flow directly from MAT;
- g) Illustrative list of Strengths, areas for Training and Development are provided in the Online PAR system which can be selected. System also provides for conduct of PRB online;

30.3 Consequent upon introduction of Online PAR system, the following were clarified:

Reference:
HAL/ HR/43(2)/14 dated 22.04.2014

Sl. No	Issues	Clarifications
1	In case of absence / leave of an Officer due to Maternity Leave / LWP on Medical grounds, then how to raise the MAT?	Eg: If an Officer is on leave due to Maternity Leave / LWP on Medical grounds wef. 20.2.13 to 5.7.13, then Online MAT can be raised / filled as follows: <u>IV Qtr (ie. 1.1.13 to 31.3.13)</u> Since the MAT would have already been raised by the Officer before proceeding on Leave, the same will be considered for evaluation.

Sl. No	Issues	Clarifications
		<p>I Qtr (ie. 1.4.13 to 30.6.13) Since the Officer is on leave, no MAT can be raised.</p> <p>II Qtr (ie. 1.7.13 to 30.9.13) MAT will be filled by the Officer on return from leave.</p> <p>III Qtr (ie. 1.10.13 to 31.12.13) MAT will be filled by the Officer in the normal course.</p> <p>Final performance Marks will be arrived at by taking average of the 3 Quarters.</p> <p>In case the LWP is on personal grounds, the final Performance Marks will be awarded at by taking average of 4 Quarters.</p>
2	In case of Transfer of an Officer from one Division to another during the Quarter, how to raise the MAT?	<p>To the extent possible, Officers may be job rotated / transferred to other Divisions / Offices at the end of the Quarter only. In case of unavoidable circumstances, if Officer is transferred during the Quarter, the MAT raised in the Division where the Officer has served maximum period during the quarter will be considered for assessment.</p> <p>Example: <u>Case I</u> : Job Rotated from AMD, Nasik to AD, Lucknow on 1.9.13. Period of MAT 1.7.13 to 30.9.13.</p> <p>In this case, the Officer has served maximum period in the Quarter in AMD Nasik. Hence, the MAT raised in AMD, Nasik is to be considered for assessment.</p>

Sl. No	Issues	Clarifications
		<p>Separate MAT need not be insisted upon at Lucknow.</p> <p>Case II : Job Rotated from Aircraft Division to ARDC on 1.8.13. Period of MAT 1.7.13 to 30.9.13.</p> <p>In this case, since only less number of days in Aircraft Division during that Quarter, the MAT raised in Aircraft Division is to be short closed.</p> <p>A fresh MAT is to be raised in ARDC on transfer as maximum period in that Quarter will be in ARDC. The MAT raised in ARDC will be considered for assessment.</p>
3	<p>In case of superannuation of Officers during March of the year, how to get the PAR filled (self) / Evaluation by him as IA / RA for other Officers who worked under him?</p>	<p>In such cases, PAR may be processed as under:</p> <p><u>Self:</u> PAR be short closed by 25th March of the year. Officer is required to fill the PAR and submit the same to IA by 31st March of the year.</p> <p>As IA: PARs in respect of the Officers for whom the retiring Officer is the IA may also be short closed by 25th March of the year and filled in PAR be forwarded to IA (ie. retiring Officer) by 28th March of the year. The Officer needs to complete his evaluation as IA by 31st March of the year.</p> <p>As RA: PARs in respect of Officers for whom the retiring Officer is the RA may also be short closed by 25th March of the year and submitted to concerned IA by 27th March of the year. IA needs to complete his evaluation and</p>

Sl. No	Issues	Clarifications
		submit to the RA (ie. retiring Officer) by 29th March of the year. The Officer needs to complete his evaluation as RA by 31st March of the year.
4	Different methods are being followed by the Divisions / Offices in raising the Quarterly MAT during the probationary period / split period.	<p>In order to have uniform practice across the Company and also to have justification for the Tasks so set during the beginning of the Quarter, it is suggested that the Dates of MAT should not be altered / modified once set. MAT periods should be 4 Quarters only i.e 1st April to 30th June, 1st July to 30th Sep, 1st Oct to 31st Dec & 1st Jan to 31st Mar.</p> <p>In case of probationary periods, the MATs which could have been evaluated / completed in all respects during the probationary period can be considered.</p> <p>Example:</p> <p>1st Probationary: 19.8.12 to 18.2.13. MAT to be considered : 2nd & 3rd Quarter i.e 1.7.12 to 30.9.12 & 1.10.12 to 31.12.12</p> <p>2nd Probationary: 19.2.13 to 18.7.13. MAT to be considered: 4th & 1st Quarter of next year i.e 1.1.13 to 31.3.13 & 1.4.13 to 30.6.13.</p>
5.	Filling up of Split PAR and consideration of MAT.	Split PAR prior to Promotion: After submission of Annual PAR, no split PAR will be raised in the lower Grade prior to promotion. However, MAT (s) will be included

Sl. No	Issues	Clarifications
		<p>along with the 1st Probationary PAR</p> <p><u>Example:</u> Date of promotion : 1.7.13 Annual PAR before promotion : 1.4.12 to 31.3.13. 1st Probationary PAR : 1.7.13 to 31.12.13. Uncovered period / MAT : 1.4.13 to 30.6.13. In such cases, the 1st Probationary PAR would include the period / MAT 1.4.13 to 30.6.13. <u>Split PAR After Probation:</u> As per the existing system, split PAR would continue to be raised.</p>
6	Consideration of MAT In case of Officers appointed during the Quarter.	<p>In respect of Officers joining the Company on fresh appointment and MTs /DTs absorbed as Officer during the Quarter, the MAT may be raised from the date of joining / absorption and closed in the concerned Quarter.</p> <p>MAT may not be raised if the left over period in that Quarter is less than 15 days.</p>
7	Strengths & Areas requiring improvements should be visible to Appraisee and the same should be forwarded to the concerned through LAN / WAN.	Can be agreed to. However, the same can be communicated after final acceptance of PAR including PRB.

Sl. No	Issues	Clarifications
8	On Introduction of Online PAR System, is it required to take print out of the filled in PARs	Need not be insisted upon. Only soft copy can be maintained. In case of requirement, print out may be taken and co-ordinated by concerned HR.
9	On introduction of Online PAR System, signature in the Online MAT/PAR required?	Need not be insisted upon, as every Officer has individual user ID & password which are confidential. Once Officer has submitted his PAR, he is responsible for the same as he only can do so using his ID.

Reference:
HAL/ HR/43(2)/14 dated 02.05.2014

30.4 Officers deputed/posted to HAL Detachments/ Bases like Agra, Goa, Tambaram, Yelahanka etc. where Intranet (LAN/WAN) facility is not available may be allowed to fill their MAT/PAR in Hard Copy.

Reference:
HAL/ HR/27(30)/2016 dated 19.12.2016

30.5 “Successful Completion of Physical Fitness Test for self and ensuring conduct of Fitness of workmen in Security & Fire Department” will be considered as one of the Tasks (mandatory) in the Mutually Agreed Tasks (MAT) of officers in the Security & Fire Discipline and weightage for the same would be 30;

30.6 The Fitness Test indicated at Para 30.5 above would be made as one of the Tasks in the 3rd Quarter (i.e. October to December) MAT, as the whole exercise need to be completed in the 3rd Quarter.

PERFORMANCE APPRAISAL SYSTEM – BOARD LEVEL INCUMBENTS, CEOs, EXECUTIVE DIRECTORS & GENERAL MANAGERS (HAL Gr-IX & ABOVE):**References:**

1. HAL/ HR/43(7)/10 dated 07.09.2010
2. HAL/HR/43(2)/15 dated 06.07.2015
3. HAL/HR/43(7)/18 dated 04.07.2018

Procedures and Guidelines for writing the Annual Performance Appraisal Reports of Top Management incumbents, i.e. Board Level and Below Board Level Officers (ie. HAL Grade-IX and above) were notified by the Department of Public Enterprises, Ministry of Heavy Industries & Public enterprises, Government of India vide D.O No. 5(1)/2000-GM dated 5th April 2010 and amendments issued thereafter. The salient features, Procedures and Guidelines on writing Performance Appraisal Reports (PARs) of these Officers are indicated below. The Format in respect of below Board Level Executives is at Annexure VIII.

Note: Online PAR System for Officers in Grade IX, X & CEOs was implemented from 2015-16. Online System for Board Level Incumbents (SPARROW CPSE) was implemented from 2018-19. Please see Paras 33 & 34 for the details.

31.1

Salient features of the DPE Guidelines on writing Performance Appraisal Reports (PARs) of Chief Executives, Functional Directors (also CEOs in HAL), Executive Directors (E9) and General Managers (E8) of CPSEs.

- a) **Format of PAR:** There would be a common Format for Chief Executives, Functional Directors, Executive Directors (E9) and General Managers (E8).
- b) **Components of PAR and their relative weights:** The proposed weightage for achievement of MOU targets (as determined by DPE), individual targets, personal attributes and functional competencies for all the 3 levels of Top Management Incumbents of CPSEs would be as follows:

Designation	Weightage			
	MOU targets	Individual targets flowing from MOU targets	Personal attributes and functional competencies	Total
Chief Executives	75	--	25	100
Functional Directors (CEOs in HAL also)	40	35	25	100
EDs (E9) & GMs (E8)	25	50	25	100

- c) **Time Schedule:** A detailed time schedule for each and every process of the Performance Appraisal exercise has been laid out so that the exercise is completed within one year after the reporting year
- d) **Channel of Submission:** The channel of submission of PAR is given in a tabular form so that it is clear and unambiguous. However, the administrative Ministries, with the concurrence of DPE, can make modification(s) in the prescribed channel.
- e) **Monitoring of PAR process:** The PAR process would be monitored closely so that everybody involved in the process adheres to the prescribed time schedule. For the purpose of close monitoring of the Performance Appraisal exercise, CPSE and the administrative Ministries / departments will nominate their senior officers as Nodal officers.
- f) **Additional Information to be recorded in PAR:** The views of superiors on the integrity of their subordinates would be recorded while assessing the performance of the executives. The information regarding (i) Annual Medical Examination, (ii) filing up of annual property return, (iii) Training programme(s) attended, (iv) additional Qualification acquired and (v) awards/honours conferred in respect of officer reported upon would now be furnished in the PAR.

- g) **Grading of Executives:** It may also be ensured that “Bell Curve approach” is followed in grading the executives of CPSEs so that not more than 10% -15% executives are graded as Outstanding / Excellent (PAR Grading of 0 - 100).
- h) While the prescribed PAR Form, guidelines and procedure are to be treated as “Core elements” of the Performance Management System in all CPSEs, in order to accommodate existing robust performance management practices, and future requirements unique to some CPSEs, the Boards of CPSEs may supplement the contents in the PAR Form, under intimation to DPE and their administrative Ministry / Department, without losing its features.

31.2 **Procedure and Guidelines for writing Performance Appraisal Reports (PARs) of Chief Executives, Functional Directors (also CEOs in HAL), Executive Directors (E9) and General Managers (E8) of CPSEs**

31.2.1 **Definitions:**

- a) **Accepting Authority:** Accepting Authority is the authority, which supervises the performance of Reviewing Authority and Reporting Authority and is responsible for the actions of the officer reported upon.
- b) **Board level Executives:** Board level executives include the Chief Executive and the Functional Directors of the CPSE.
- c) **Chief Executive:** Chief Executive of the CPSE means the head of the CPSE having substantial powers called by whatever name including Executive Chairman, Chairman and Managing Director and Managing Director.
- d) **Nodal officer:** Nodal officer refers to a senior officer nominated as such by the CPSE or the Administrative Ministry/Department concerned to coordinate the activities relating to Performance Appraisal exercise for its smooth completion
- e) **PAR Repository Authorities:** PAR Repository Authorities are those authorities that have been designated by the CPSE, Administrative Ministry/Department and Public Enterprises Selection Board (PESB) to keep the PARs of the top management incumbents of CPSEs in their custody.

- f) **Reporting Authority:** Reporting Authority is the authority, which supervises the performance of the officer reported upon.
- g) **Reporting year:** The reporting year of the PAR is the financial year i.e. from 1st April to 31st March.
- h) **Reviewing Authority:** Reviewing Authority is the authority, which supervises the performance of the Reporting Authority and supervises the work of the officer reported upon through the Reporting Authority.
- i) **Top Management incumbents:** Top management incumbents include Chief Executives, Functional Directors, Executive Directors (E9) and General Managers (E8) of Central Public Sector Enterprises (CPSEs).

31.2.2 **Applicability**

These procedures are applicable to all Board level executives and Executive Directors (E9) and General Managers (E8) and other equivalent officers of CPSEs. The Performance Appraisal Reports (PARs) of Government officers on deputation to posts in CPSEs will be written in the formats prescribed by their respective Cadre Authorities and the procedure for writing the same will also be as prescribed by those Authorities. The PARs of Chief Vigilance Officers will be written based on the instructions issued by Department of Personnel & Training. Further, unless otherwise specified, the term 'he' mentioned in these guidelines includes 'she' also.

31.2.3 **Authorities for initiation, review and acceptance of PARs for Top Management Incumbents of CPSEs**

31.2.3.1 Table No.1 below specifies the Reporting Authority, Reviewing Authority and Accepting Authorities in respect of Performance Appraisal Report (PAR) of the Chief Executives, Functional Directors (*also CEOs in HAL*), Executive Directors (E9) and General Managers (E8) of CPSEs.

Table : Channel of submission of PAR

Sl. No.	Name of the officer whose PAR is to be written	Reporting Authority	Reviewing Authority	Accepting Authority	PAR Repository Authorities
I	Holding Companies				
i)	Executive Chairman	Secretary of the AM/D ¹	Minister-in-charge	Minister-in-charge	Original copy with the AM/D and one certified copy each with the Nodal officer of the CPSE and PESB
ii)	CMD ²	Secretary of the AM/D	Minister-in-charge	Minister-in-charge	-do-
iii)	MD ³	Executive Chairman	Secretary of the AM/D	Minister-in-charge	-do-
		Secretary of the AM/D	Minister-in-charge		
iv)	Functional Director	Executive Chairman	Secretary of the AM/D	Minister-in-charge	-do-
		CMD	Secretary of the AM/D	Minister-in-charge	
		MD	Executive Chairman	Secretary of the AM/D	
			Secretary of the AM/D	Minister-in-charge	
v)	ED ⁴ and other officers of equivalent posts (E9)				
a	In case the officer directly reports to Functional Director	Functional Director	Executive Chairman	Executive Chairman	Original copy with the Nodal officer of the CPSE.
			CMD	CMD	
			MD	Executive Chairman or MD	

¹ AM/D – Administrative Ministry/Department

² CMD – Chairman & Managing Director of the CPSE

³ MD – Managing Director of the CPSE

⁴ ED – Executive Director in CPSE

Sl. No	Name of the officer whose PAR is to be written	Reporting Authority	Reviewing Authority	Accepting Authority	PAR Repository Authorities
b	In case the officer directly reports to Executive Chairman	Executive Chairman	Executive Chairman	Executive Chairman	Original copy with the Nodal officer of the CPSE.
c	In case the officer directly reports to CMD	CMD	CMD	CMD	
d	In case the officer directly reports to MD	MD	Executive Chairman	Executive Chairman	
			MD	MD	
vi)	GM ⁵ and other officers of equivalent posts (E8)				
a	In case the officer directly reports to ED	ED	Functional Director	Executive Chairman or CMD or MD	Original Copy with the Nodal officer of the CPSE.
			Executive Chairman or CMD	Executive Chairman or CMD	
			MD	Executive Chairman or MD	

⁵ GM – General Manager in CPSE

Sl. No	Name of the officer whose PAR is to be written	Reporting Authority	Reviewing Authority	Accepting Authority	PAR Repository Authorities
b	In case the officer directly reports to Executive Chairman	Executive Chairman	Executive Chairman	Executive Chairman	Original Copy with the Nodal officer of the CPSE.
c	In case the officer directly reports to CMD	CMD	CMD	CMD	
d	In case the officer directly reports to MD	MD	Executive Chairman	Executive Chairman	
			MD	MD	
e	In case the officer directly reports to Functional Director	Functional Director	Executive Chairman	Executive Chairman	
			CMD	CMD	
			MD	Executive Chairman or MD	

Sl. No.	Name of the officer whose PAR is to be written	Reporting Authority	Reviewing Authority	Accepting Authority	PAR Repository Authorities
II	Subsidiary Companies				
i)	CMD	CMD or Executive Chairman of Holding Company	Secretary of the AM/D	Minister-in-charge	Original Copy with AM/D and one certified copy each with the Nodal
		MD of Holding Company	Executive Chairman of Holding Company or Secretary of the AM/D	Secretary of the AM/D or Minister-in-charge	officer of the CPSE and PESB
ii)	MD	Executive Chairman/ CMD of Holding Company	Secretary of the AM/D	Minister -in-charge	-do-
		MD of Holding Company	Executive Chairman of Holding Company or Secretary of the AM/D	Secretary of the AM/D or Minister-in-charge	

Sl. No.	Name of the officer whose PAR is to be written	Reporting Authority	Reviewing Authority	Accepting Authority	PAR Repository Authorities
iii)	Functional Director	CMD/MD of subsidiary company	Executive Chairman or CMD of Holding Company	Secretary of the AM/D	-do-
			MD of Holding Company	Executive Chairman of Holding Company or Secretary of the AM/D	
iv)	GM and other officers of equivalent posts (E8)				
a	In case the officer directly reports to Functional Director	Functional Director	CMD	CMD	Original Copy with the Nodal officer of the CPSE
			MD	Executive Chairman or MD	
b	In case the officer directly reports to CMD	CMD	CMD	CMD	
c	In case the officer directly reports to MD	MD	Executive Chairman	Executive Chairman	
			MD	MD	

31.2.3.2 Notwithstanding the channel of Reporting, Reviewing and Acceptance mentioned in para 31.2.3.1, the administrative Ministry/Department may, in consultation with THE Department of Public Enterprises, adopt a different channel of submission of PAR on case by case for valid reasons.

31.2.4 Schedule of commencement and completion of PARs:

References:

1. HAL/HR/43(7)/10 dated 07.09.2010
2. HAL/HR/43(2)/15 dated 06.07.2015

31.2.4.1 PARs are now filled Online. The schedule prescribed by the DPE for commencement and completion of the Performance Appraisal exercise for below Board Executives is indicated in the following Table [Schedule of Table for Board Level Executives is given under para – 34.2(f)]

Sl. No.	Activity	Cut-off Date ¹
i)	Finalization of targets and relative weights by the Reporting Authority in consultation with the officer reported upon and sending a copy thereof to the Nodal officer for record	15 th May
ii)	Nodal Officer will circulate one copy of blank PAR form to the officer reported upon specifying the Reporting, Reviewing and Accepting Authorities	31 st July
iii)	Submission of the PAR form after self-appraisal by the officer reported upon to the Reporting Authority under intimation to the Nodal officer	31 st October
iv)	Submission of the PAR form after appraisal by the Reporting Authority to the Reviewing Authority under intimation to the Nodal officer	15 th November
v)	Submission of the PAR form after review by the Reviewing Authority to the Accepting Authority under intimation to the Nodal officer	30 th November
vi)	Furnishing of the PAR form after appraisal by Accepting Authority to the Nodal officer	15 th December
vii)	Disclosure of the PAR to the officer reported upon by the Nodal officer	31 st December
viii)	Submission of representation, if any, by the officer reported upon to the Nodal officer	15 th January

Sl. No.	Activity	Cut-off Date¹
ix (a)	<u>If no representation is received:</u> The PAR as disclosed to the officer reported upon should be treated as final and forwarded to the concerned PAR Repository Authorities by the Nodal officer	31 st January
ix (b)	<u>If representation is received:</u> The Nodal officer shall put up the representation before the Accepting Authority for disposal in consultation with a committee of senior officers and with the Reporting/Reviewing Authority as may be required.	28 th February
ix (c)	Nodal officer shall make necessary entries in Section VI of the PAR about the final decision of the Accepting Authority on the representation and disclose the same to the officer reported upon	15 th March
ix (d)	Nodal officer will forward the completed PAR in original to the concerned PAR Repository Authorities and complete the process	31 st March

¹ Cut-off date will be in the year following the financial year for which PAR is written except for S. No. (i) where the cut-off date mentioned is 15th May of the Reporting year. In case these dates fall on holidays, the cut-off date will be automatically extended to the next working day.

31.2.5

Nomination of Nodal Officer by CPSE/Administrative Ministry/Department

The Nodal Officers nominated by the CPSE and the concerned Administrative Ministry/Department should ensure that only one copy of the PAR Form in respect of the Chief Executives, Functional Directors (*also CEOs in HAL*), Executive Directors and General Managers is circulated and filled up. They should also ensure that the PARs are duly completed as per the prescribed schedule and copies (hard as well as digital) of the PAR are made and certified by them. The Nodal officer should send the certified copies of the PAR to the concerned PAR Repository Authorities within the prescribed time. The Nodal officers for the Board level and below Board level executives are indicated as follows:

Table: Nodal officers for the Board level and below Board level executives

Particulars of Post	Nodal officer
<u>Board level Executives</u> Chief Executive and Functional Directors	Joint Secretary looking after administration in the concerned administrative Ministry/Department
<u>Below Board level Executives (E9 & E8)</u> Executive Directors and General Managers <i>(also CEOs in HAL)</i>	A senior officer of CPSE looking after the Human Resource / Personnel / Administration Deptt. so designated by the concerned CPSE

31.2.6 **Procedure for Initiation, Review and Acceptance of PARs**

<p>References: 1. HAL/HR/43(7)/10 dated 07.09.2010 2. HAL/HR/43(2)/15 dated 06.07.2015</p>

- a) **Commencement of Performance Appraisal exercise:**
 The performance appraisal should commence with the fixation of targets. The deliverables as well as relative weights in respect of each assigned tasks will be decided by the Reporting Authority after consulting the officer reported upon within fifteen days from the start of the period of report. A copy of the approved targets as well as their relative weights should be sent to the Nodal officer by 15th May of the year of report by the Reporting Authority for record.

- b) **Nodal Officer:** The Nodal Officer shall, by the stipulated date, circulate one copy of PAR form after filling Section I to the officer reported upon specifying the Reporting, Reviewing and Accepting Authorities. The Nodal officers shall closely monitor the process of initiation and completion of PAR so that the remarks of the Reporting, Reviewing and Accepting Authorities are recorded without fail by the dates indicated in the prescribed schedule. In case the officer was on leave, training, ex-cadre foreign assignment for more than a year, the Nodal officer will record a certificate to the effect that no

PAR is required to be written in respect of that officer for that period. Such a period shall be called 'No Report Period' and accordingly no PAR would be necessary for such period.

- c) **Officer reported upon:** The officer reported upon shall forward his self-appraisal to the Reporting Authority before the due date under intimation to the Nodal officer and keep a record of the same as evidence that he had submitted the same in time.
- d) In case the Officer reported upon is getting retired before the time of initiation of APAR for that year, the APAR of concerned Officer may be initiated, i.e. if he/she may submit Self-Appraisal Report within one month of his/her retirement and MOU Ratings may be included in the APAR as and when they are available so that APAR could be reviewed /accepted as per the laid down procedures.
- e) **Reporting Authority:** The Reporting Authority should record his comments in the PAR and send it to the Reviewing Authority within the stipulated time under intimation to the Nodal officer. When the Reporting Authority retires or otherwise demits office, he may be allowed to give his report on his subordinates within a month of his retirement or demission of office. The Reporting Authority should have at least 3 months experience of the work and conduct of the officer reported upon before writing an assessment of the work of that officer. However, when there is no Reporting Authority having the requisite experience of 3 months or more during the period of report, the Nodal officer should indicate this in Section III of the PAR.
- f) **Reviewing Authority:** The Reviewing Authority should record his comments on the PAR of his subordinates forwarded to him by the Reporting Authority and send it to the Accepting Authority by the stipulated date under intimation to the Nodal officer. The Reviewing Authority can review the PAR of his subordinates within one month after his retirement or demission of his office.
- g) **Accepting Authority:** The Accepting Authority shall within the timeframe specified, record his remarks on the PAR and forward it to the Nodal officer. Where the Accepting Authority has not seen the performance of the officer reported upon for at least three months during the period for which the PAR has been written, it will not be necessary for the Accepting Authority to accept any

such report and an entry to this effect shall be made in the Performance Appraisal report by the Nodal officer. The Accepting Authority shall not accept any PAR after one month of his retirement from service or demitting office. Further, it is incumbent on the Accepting Authority to see whether the overall grade given to the officer by the Reporting/Reviewing Authority correspond with the pen picture given by them and in case they are different, he/she should harmonise them by suitably changing the overall grade.

<p>Reference: HAL/HR/43(2)/15 dated 06.07.2015</p>
--

- h) Where the Reporting Authority has not seen, but the Reviewing Authority has seen the performance of the Officer reported upon for at least three months during the period for which the Performance Appraisal Report(PAR) is to be written, the Reviewing Authority shall write the PAR of any such Officer for any such period. Where both the Reporting Authority and Reviewing Authority have not seen and the Accepting Authority has seen the performance of the Officer reported upon for at least three months during the period for the which the PAR is to be written, the Accepting Authority shall write Performance Appraisal of any such Officer during any such period. Where the Reporting Authority, the Reviewing Authority, and the Accepting Authority have not seen the Performance of Officer reported upon for at least three months during the period for which the report is to be written, the Nodal Officer shall make an entry to the effect in the PAR for any such period.

- i) **Action plan to avoid delay in completion of the PAR process:** In case the Reporting Authority fails to submit the PAR to the Reviewing Authority within the stipulated period, the Nodal officer shall immediately obtain a copy of the self-appraisal from the officer reported upon and send it directly to the Reviewing Authority and authorize him to initiate the PAR. The Nodal officer shall also keep a note of the failure of the Reporting Authority to submit the PAR of his subordinate in time for making entry in Item No.11 of Section I of the PAR of such Reporting Authorities. In case either the Reviewing Authority or both the Reporting Authority and Reviewing Authority fail(s) to submit the PAR to the Accepting Authority within the stipulated period, the Nodal officer shall immediately obtain a copy of the PAR of the officer

reported upon with self-appraisal and appraisal of the Reporting Authority, if available and send them directly to the Accepting Authority and request him to either review or 'initiate and review' the PAR, as the case may be. The Nodal officer shall also keep a note of the failure of the Reporting or/and Reviewing Authority, as the case may be, to submit the PAR of his/their subordinates in time for an appropriate entry in Item No.11 of Section I of the PAR of such Reviewing/Reporting Authorities. When the PAR of an officer of the CPSE reported upon is initiated by the Accepting Authority due to delay in initiation and review by the concerned authorities, it will not be necessary for him to review and accept such report. Similarly, when the PAR of an officer of the CPSE reported upon is reviewed by the Accepting Authority due to delay in review by the Reviewing Authority, it will not be necessary for him to accept such report.

- j) **Comments on the integrity of the officer reported upon:** The Reporting Authority is required to comment on the integrity of the officer reported upon. In recording remarks with regard to integrity, he/she need not limit him/herself only to matters relating to financial integrity but would also take into account any violation, by the concerned officer, of the code of conduct laid down by the Board of the CPSE or expected of him. The following procedure should be followed in filling up Column 8 relating to integrity: (i) If the Officer's integrity is beyond doubt, it may be stated; (ii) If there is any doubt or suspicion, a separate secret note should be recorded and sent to the Reviewing Authority after recording this fact in the column relating to integrity. (iii) Where it is not possible either to certify the integrity or to record secret note, the Reporting Authority should state that he/she has not received anything against the officer. The Reviewing Authority will ensure that the follow up action is taken expeditiously.
- k) The Reviewing Authority will ensure that the follow up action is taken expeditiously on the secret note if any submitted by the Reporting Authority. If, as a result of the follow up action, the doubts or suspicions are cleared, the integrity of the officer reported upon should be certified and an entry made accordingly by the Reviewing Authority in the Performance Appraisal Report. If the doubts or suspicions are confirmed, this fact should also be recorded by the Reviewing Authority. If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the

officer's conduct should be watched for a further period of one year and the outcome should be recorded in the Performance Appraisal Report by the Reviewing Authority. The Nodal officer shall communicate the final decision on the integrity of the officer reported upon to the officer concerned as well as the Reporting Authority.

Reference: HAL/HR/43(2)/15 dated 06.07.2015
--

Explanation:

For the purpose of these Guidelines, a "Minister" shall not be construed as having demitted the Office if he continues to be Minister in the Council of Ministers with a different portfolio or in the Council of Ministers immediately reconstituted after the previous council of Ministers of which he was Minister with the same or different portfolio provided the Prime Minister continues in Office.

31.2.7 Disclosure of the entries recorded in the PAR and disposal of the representation, if any, received from the officer reported upon

- a) Once the PAR is completed, the Nodal officer shall be responsible for communicating the full Performance Appraisal Report including the overall grade and assessment of integrity, to the concerned officer by 31st December of the year following the year of report.
- b) The concerned officer reported upon shall be given an opportunity to make a representation, if any, within a period of fifteen days from the date of receipt of the PAR against the entries and the final grading given in the PAR. While communicating the entries, it should be made clear that in case no representation is received within fifteen days, it shall be deemed that he/she has no representation to make. If the Nodal officer does not receive any representation from the concerned officer reported upon, on or before fifteen days from the date of disclosure, the PAR will be treated as final. The representation shall be restricted to specific, factual observations contained in the report on the assessment of the achievements against targets, personal attributes, functional competencies and integrity. A committee of three senior officers will be appointed by the Accepting Authority to advise him on the representation, if any, received from the officer reported upon. The Committee

of officers will consider the representation received from the officer reported upon in consultation with the Reporting and/or Reviewing Authorities and submit their report to the Accepting Authority. The Accepting Authority shall decide the matter objectively based on the material placed before him within a period of 45 days from the date of receipt of the representation from the officer reported upon. The Accepting Authority after due consideration shall pass a self-contained, speaking order on the issue at hand. He may reject the representation or may accept and modify the PAR accordingly. The Nodal officer shall communicate to the officer reported upon, Reporting and Reviewing Authorities, the decision of the Accepting Authority and the final grading within fifteen days of its receipt and shall keep a record thereof in Section VI of PAR form.

31.2.8 **Maintenance of PARs**

The completed PARs in original of all Chief Executives and Functional Directors of CPSEs shall be retained in the Administrative Ministry and a certified copy of the PAR shall be kept in the concerned CPSE and PESB. The completed PARs in original of all Executive Directors (E9), General Managers (E8) and their equivalent executives of CPSEs (*also CEOs in HAL*) shall be retained in the concerned CPSE. Maintenance of a copy of PAR of all Board level executives will facilitate Public Enterprises Selection Board (PESB) in its task of selection of Board level executives in CPSEs.

31.2.9 **Oversight of Performance Appraisal exercise by Department of Public Enterprises (DPE)**

By 30th April of every year, PESB will share with DPE the status of completion of Performance Appraisal exercise in respect of all Board level executives for the year which is two years prior to the year of sharing of status report. Based on the report of PESB, DPE will take up the issue of incomplete or delayed PARs with the administrative Ministries/ Departments for expediting the completion of the Performance Appraisal exercise.

31.3 **Instructions for filling up the Performance Appraisal Report (PAR) of the Chief Executives, Functional Directors (also CEOs in HAL), Executive Directors (E9) and General Managers (E8) of Central Public Enterprises (CPSEs)**

References:

1. HAL/HR/43(7)/10 dated 07.09.2010
2. DPE OM: F.No.13(1)/2018-GM dated 01.06.2018
3. HAL/HR/43(7)/18 dated 04.07.2018

31.3.1 **Introduction**

The Performance Appraisal Report is an important document. It provides the basic and vital inputs for further development of an officer. The officer reported upon, the Reporting Authority, Reviewing Authority and the Accepting Authority should, therefore, undertake the duty of filling up the form with a high sense of responsibility.

Performance Appraisal should be used as a tool for career planning and training, rather than a mere judgmental exercise. Reporting Authorities should realize that the objective is to develop an officer so that he/she realizes his true potential. It is not meant to be a fault-finding process but a developmental tool. The Reporting Authority, the Reviewing Authority and the Accepting Authority should not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon. The columns should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual or superficial manner will be easily discernible to the higher authorities.

Performance appraisal is expected to be used as a tool for human resource development, career planning and training rather than a mere judgemental exercise. Thus the Reporting Authority and the officer reported upon should meet at the beginning of the year to set targets and goals of performance.

31.3.2 **Section I – Basic information**

This Section should be filled up in by the Nodal officer or the Human Resource/Personnel/ Administration Department of the CPSE. Period of report could be either the entire reporting year, namely, from 1st of April to 31st March or a part of the year (exceeding 3 months). In case the period of report is a full year, it should be indicated accordingly; for example, 2019-2020. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 10th September 2019 to 31st March 2020.

Item No.1: Name of the officer reported upon should be written in capital letters

Item No.8: The period of absence from duty, on leave other than casual leave, training, or for other reasons should be mentioned in this section.

Item No.12: The date of filing the annual property return in the prescribed format is to be mentioned.

Item No.13: This Section provides for annual medical examination of the officer reported upon from an approved medical institution. The health checkup is, however, mandatory for all officers above the age of 40. The officer concerned should get his medical examination completed by 30th June every year at a medical institution designated by the concerned CPSE. A suggested format for the medical report is appended to the PAR form. CPSEs may, however, prescribe a separate form provided it includes all the details specified in the form suggested by the Committee. A copy of the summary of the medical report of the officer reported upon is to be attached to the Performance Appraisal Report Form by the Nodal officer or the Human Resource/Personnel/Administration Department of the CPSE before circulating the same to the concerned officer for completing self-appraisal.

31.3.3

Section II – Self-appraisal of the officer reported upon

Item No.1: The officer reported upon is first required to give a brief description of his responsibilities, which would normally not exceed about 100 words. Ideally, this should be in bullet form

Item No.2: In this section, the officer reported upon is required to furnish the details of targets and achievements unless revised by the new Reporting officer. While the targets for the Chief Executive will be only MOU targets; for others, the targets will be both MOU targets as well as other assigned tasks flowing from MOU targets. All officers are required to develop a work plan for the year and agree upon the same with the Reporting officer. The work plan should incorporate the work related to the area of functioning of the concerned officer and it should emanate from the MOU targets/goals. The work plan would normally consist of quantifiable targets. The exercise is to be carried out at the beginning of the year and finalized by 15th April, positively. The work plans, duly signed by the officer reported upon and the Reporting Authority has to be submitted by 15th May to the nodal officer for record.

After the work plan is prepared, it is possible that the officer reported upon is transferred out. There need not be more than one work plan for one post each year. In case of a change of the Reporting officer during the year, the work plan agreed with the previous Reporting officer would continue to apply unless revised by the new Reporting officer. The contribution of the officer reported upon during the period spent by the officer on the post could be considered for evaluating his performance against the work plan.

Item No.3: This section provides an opportunity for the officer to reflect upon his performance during the year and indicate one item in which he/she had made significant contribution during the year. It is always possible for any officer to make significant contribution even in activities otherwise regarded as routine in nature.

Item No.5: The officer reported upon is required to indicate specific areas in which he/she feels the need to upgrade competencies and attend training programmes. He/she should also mention the specific steps that he/she has taken or proposes to take to upgrade his/her competencies in the identified area.

31.3.4

Section III – Appraisal of the Reporting Authority

Item No.1: The Reporting Authority is required to comment on the self-appraisal made by the officer reported upon in Section II, and specifically state whether he/she agrees with the responses relating to accomplishments. In case of disagreement, the Reporting Authority should highlight the specific portions with which he/she is unable to agree to and the reasons for such disagreement.

Item No.6: In this Section, the Reporting Authority is required to record a numerical grade (not more than 2 decimals) in respect of the work output of the officer reported upon against each of the key assigned tasks.

Item No.7: In this section, the Reporting Authority is also required to record a numerical grade (not more than 2 decimals) in respect of personal attributes and functional competencies of the officer reported upon. To ensure that the personal attributes and functional competencies are clearly understood by all stakeholders of the PAR process, the descriptions of each of them are given below:

Table No.1 – Description of Personal Attributes and Functional Competencies

SL. No.	Personal Attributes and Functional Competencies	Description of Personal Attributes and Functional Competencies
i)	Effective communication skills	Communicates articulately and assertively to influence critical stakeholders and strives to achieve a win-win solution.
ii)	Strategic orientation and Decision making ability	Demonstrates comprehensive business and environment awareness including related laws and rules; develops/aligns self and team to the long term business strategy and overall organizational vision. Considers multiple factors while taking decisions for long term organization impact.
iii)	Problem solving and Analytical ability	Analyzing and solving a problem by identifying the elements and relationships of a problem in a systematic way and identifying logical links.
iv)	Ability to develop and motivate team members	Provides direction and support, encourages team work, inspires and motivates team and manages conflict to accomplish group objectives while focusing on capability enhancement of the team
v)	Ability to coordinate and develop collaborative partnerships	Builds collaborative partnerships with internal and external stakeholders and leverages relations through networking to meet organizational objectives.

Sl. No.	Personal Attributes and Functional Competencies	Description of Personal Attributes and Functional Competencies
vi)	Innovation and change orientation	Takes initiative; manages and champions change and learning processes; encourages new and innovative approaches.
vii)	Planning and Organising	Ability to plan and organize own as well as team activities, prioritize and handle contingencies to meet set goals and objectives within defined timelines.
viii)	Result orientation	Demonstrates drive for results and ensures that operating practices and performance results adhere to high standards of efficiency and excellence
ix)	Business Acumen	Understands the tie between and revenue and expenses; utilizes financial data and information to make sound business decisions that promote cost consciousness, profitability, revenue and growth.
x)	Role based functional competency	Demonstrates knowledge of rules and laws, systems and processes, functional domain and IT applications in order to carry out the assigned role with conviction

In order to bring in more objectivity in the assessment of the attributes and competencies and minimize bias, benchmarking for assigning grades to various Personal Attributes and Functional Competencies are indicated in the Table given below:

Table No. 2 – Benchmarking for assigning grades to Personal Attributes and Functional Competencies

Grade	Description of the benchmark	Details of Behaviour competencies
1	Consistently exceeds expectations	Demonstrates exemplary behaviours, consistently in all situations far above that are required for effectiveness in the current role. Demonstrates outstanding professional attributes, which indicates strong potential for rapid future development.
2	Consistently meets expectations	Consistently demonstrates behaviours which surpass those required for effectiveness in current role. Demonstrates professional skills that indicate strong potential for future advancement.
3	Meets expectations most of the times	Regularly demonstrates behaviours at the level required for effectiveness in current role. Displays the required level of proficiency for this competency, exceeding expectations at times.
4	Partially meets expectations	Inconsistently or partially demonstrates behaviours required for effectiveness in current role; however significant progress is required to achieve the expected proficiency level for this competency.
5	Consistently does not meet expectations	Does not sufficiently demonstrate behaviours required for effectiveness in current role and immediate improvement is needed to achieve the required proficiency level for this competency.

Item No.8: In this section, the Reporting Authority is required to comment on the integrity of the officer reported upon. In recording remarks on integrity, he/she need not limit him/herself only to matters relating to financial integrity but would also take into account any violation, by the concerned officer, of the code of conduct laid down by the Board of the CPSE. The following procedure should be followed in filling up column relating to integrity: (i) If the Officer's integrity is beyond doubt, it may be stated; (ii) If there is any doubt or suspicion, a separate secret note should be recorded and sent to the Reviewing Authority after recording this fact in the column relating to integrity. (iii) Where it is not possible either to certify the integrity or to record secret note, the Reporting Authority should state that he/she has not received anything against the officer reported upon.

The Reviewing Authority will ensure that the follow up action on the secret note submitted by the Reporting Authority is taken expeditiously. If, as a result of the follow up action, the doubts or suspicions are cleared, the integrity of the officer reported upon should be certified and an entry made accordingly by the Reviewing Authority in the Performance Appraisal Report. If the doubts or suspicions are confirmed, this fact should also be recorded by the Reviewing Authority in the PAR. If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the officer's conduct should be watched for a further period of one year and the outcome should be recorded in the Performance Appraisal Report by the Reviewing Authority. The Nodal officer shall communicate the final decision on the integrity of the officer reported upon to the officer concerned as well as the Reporting Authority.

Item No.9: The Reporting Authority is also required to record a descriptive pen-picture on the overall qualities of the officer reported upon and his performance and this should be consistent with the numerical grade given to the officer. This should try to cover overall qualities of the officer, including areas of strengths. The pen-picture is also meant to be a qualitative supplement to the quantitative assessments made in earlier part of this section.

Item No.10: Finally, the Reporting Authority is required to record an overall Grade (on Grade 0-100) based on the Grades awarded in Items Nos. 6 & 7. This should be computed by summing up the weighted average Grade indicated in Item Nos. 6 & 7.

31.3.5 **Section IV – Review by the Reviewing Authority**

Item No.1: This Section is to be filled up by the Reviewing Authority. He/she is required to indicate whether he/she agrees with the assessments made by the Reporting officer. In case of disagreement, he/she may record his own assessment about the work output and/or any of the attributes in the column specifically provided for the purpose in Item No.6 and/or Item No.7 of Section III. The numerical grades should not be given in more than 2 decimals.

Item No.3: In case of disagreement with the assessment made by the Reporting Authority, the Reviewing Authority should record the details of disagreement and the reasons for the same in this section.

Item No.4: In this section, the Reviewing Authority should comment on the pen picture written by the Reporting Authority.

Item No.5: Finally, the Reviewing Authority is required to record an overall grade (on grade 0-100) based on the Grades awarded in item No. 6 & 7. This should be computed by summing up the weighted average grade indicated in Item no. 6 & 7 of Section III.

31.3.6 **Section V – Acceptance by the Accepting Authority**

Item No.1: This Section is to be filled by the Accepting Authority. He/she is required to indicate whether he/she agrees with the assessments made by the Reporting Authority/Reviewing Authority.

Item No.2: In case of difference of opinion, the Accepting Authority is required to give details and reasons for the same in this section.

Item No.3: Finally, the Accepting Authority is required to record in this section an overall grade of 0-100. In case the overall grade given to the officer reported upon by the Reporting/Reviewing Authority is not consistent with the pen picture given by them, the Accepting Authority should make suitable changes to the overall grade to make them consistent.

31.3.7 **Section VI: Review of the overall grade by the Acceptance Authority**

In this section, the Nodal officer will fill in the form, the final decision of the Acceptance Authority on the representation, if any, made by the officer reported upon.

31.3.8 Numerical Grades

At several places, numerical grades are to be awarded by Reporting/Reviewing Authorities. It is expected that any grading of 0 to 25 (against work output or personal attributes and functional competencies or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 75 to 100 would be justified with respect to specific accomplishments. In awarding a numerical grade, the Reporting, Reviewing and Accepting Authorities should rate the officer against a larger population of his peers that may be currently working under them or would have worked under them in the past.

31.3.9 Benchmarking of the Grade:

Reference(s):

1. DPE OM: F.No.13(1)/2018-GM dated 01.06.2018
2. HAL/HR/43(7)/2018 dated 04.07.2018

The overall grade obtained by the officer shall be benchmarked as follows:

Outstanding	90-100
Very Good	Less than 90 to 70
Good	Less than 70 to 50
Fair	Less than 50 to 33
Poor	Less than 33 to 0

32 MOU Composite score for writing the Annual Performance Reports (APARs) for Top Management Incumbents of CPSE

Reference (s):

1. DPE letter dated 16.09.2016
2. HAL/HR/43(2)/2016 dated 30.11.16

32.1 The MOU Composite score as conveyed by the DPE are required to be entered in Section II(2) and Section III(6) of the form of APAR. The following table is prescribed for entering MOU Composite Score in APARs:

MoU Composite Score	Corresponding MoU Score to be used for APAR*
100-90	1.00-1.50
89.99-70	1.51-2.50
69.99-50	2.51-3.50

49.99-30	3.51-4.50
29.99-20	4.51-5.00

- For MoU Composite Score of intervening values, the corresponding MoU Scores may be calculated on pro-rata basis. For example, the MoU Composite Score of 95 will correspond to MoU Score of 1.25 to be used for APAR.

33 ONLINE PAR SYSTEM FOR TOP MANAGEMENT INCUMBENTS

Reference(s):

- 1. HAL/ HR/43(2)/16 dated 18.05.2016**
- 2. HAL/HR/43(2)/16 dated 27.05.2016**
- 3. HAL/HR/43(7)/17 dated 27.11.2017**

- 33.1 The Online PAR system for Top Management incumbents (Officers in Grade IX and above) was implemented Company wide from the year 2015-16.
- 33.2 The Online PAR System for Top Management Incumbents is integrated with the IFS database. The personal data / details of Officers are to be updated in IFS database regularly. The personal data would invariably flow from IFS to Online PAR system. The Complete Section-I (Basic Information) of the Online PESB format is to be filled by the respective HR Officers in the Division/ Offices who are handling the Top Management PARs. Wherever the personal details are not available in the IFS Database, the same will filled up by the concerned HR Department.
- 33.3 In this regard, the following are required to be ensured:
- a) Online PARs for the Top Management Incumbents will be released by PAR Section in the Division/Offices;
 - b) IFS data to be updated on regular basis by the Officers who are handling IFS Database in the Division/Offices
 - c) In Section-I of the Online PAR, personal data/ details of Officer which are not available in IFS database to be updated manually in the Online PAR System(i.e. date of First Public Enterprises Appointment, Scale of pay of the First Appointment etc.) by the concerned Officer handling Establishment Section;

- d) All the personal details to be checked by the Officer in charge of Establishment Section before forwarding (final submission of Section-I) to the self-appraisal.
- e) On completion of filling the Online PARs by respective Reporting Authority/ Reviewing Authority/ Accepting Authority wherever applicable the rights have been given to the Office of Director(HR) for accessing / printing the Online PAR for confidentiality as per existing procedure/policy.
- f) Reports submitted Online by Officers in Grades- IX / X, after evaluation by the concerned CEO / Director, are forwarded to the Office of Director (HR). After perusal by Director (HR), the Reports are submitted Online to CMD for further evaluation
- g) As regards CEOs, after filling up Section-II of the Format, the PARs are forwarded to the office of Director (HR). After perusal by Director (HR), the Reports are submitted Online to CMD for further evaluation.
- h) In cases where the Reports are submitted in hard copy (wherever applicable), it may be ensured that the Reports after completion by the CEO / Directors are forwarded to the Office of Director (HR) only. The Reports would be processed by the Office of Director (HR), before submitting to CMD.

34 ONLINE SYSTEM (SPARROW CPSE) FOR RECORDING ANNUAL PERFORMANCE APPRAISAL REPORTS (APAR) FOR BOARD LEVEL EXECUTIVES OF CPSEs

<p>Reference: DPE OM: F.No.5(1)/2018-MGMT dated 09.04.2019</p>

Online APAR system (SPARROW) for Board level incumbents of CPSEs was introduced from the year 2018-19.

34.1 Smart Performance Appraisal Report Recording Online Window (SPARROW)

- a) SPARROW is an Online system based on the comprehensive Performance Appraisal dossier that is maintained for each member of the Service by the State Government/ Central Government;
- b) The aim of this system is to facilitate electronic filling of PAR by Officer in a way that is not only user friendly but

also allows to fill from anywhere anytime as per their convenience. Similar Convenience will be available to the Officers at different stages in the work-flow hierarchy of filling and submission process. The system is expected to reduce delays in submission of completely filled PARs;

- c) PAR filling process starts at the beginning of the financial year. The Custodian of the respective Ministry/ Department sends the blank PAR forms to the Individual Officer. The Officer fills the PAR for further submission to his/her Reporting Officer. The PAR moves from Reporting Officer to Reviewing Officer and to Accepting Authority compulsorily marking CR Section a slip. With the electronic system in place, the recording and movement of PAR forms becomes seamless, quick and convenient due to inbuilt alert mechanisms through different modes at appropriate Stages. The system provides status check so that the Officers' know where their PAR is pending as well as what is pending with them;
- d) The software has an inbuilt system of generating auto-alerts which would go the officers concerned with whom the PAR would be pending for more than the specified time and thus would ensure better monitoring of the writing of PAR;
- e) Each Officer would have to digitally sign the report before forwarding it to appropriate authority. It would also have the facility of uploading summary of medical reports, certificate of training, academic courses , appreciation letters, etc;
- f) The software has an in-built security mechanism to ensure that nobody can tamper with the data available in it;
- g) For e-filing, each officer or authority involved in the work flow is required to be issued a Digital Signature Certificate (DSC) which is the digital equivalent of physical or paper certificate for authentication.

34.2

The salient features of the online system (SPARROW CPSE) along with the procedure to be followed is indicated below:

- a) Pre-requisites for operating the System:

The nodal officers and CPSE's Board level incumbents have been provided with a unique NIC email

ID linked to their mobile number. NIC email ID is used ID for the system and password of email ID is the password, which is a pre requisite to access the system. For online filling of APAR, either Digital Signature Certificate (DSC) or e-sign with Aadhar enabled system is required by every user for authentication.

b) Procedure for online writing of APARs:

The system provides for a step-wise workflow oriented movement of APAR through different levels as explained below:

Step- I- The Nodal Officer of each CPSE shall create the work flow to initiate the movement of PAR of Board Level incumbents of concerned CPSEs.

Step- II- The Nodal Officer of each CPSE will generate and send the PAR after filling Section-I to the Officer reported upon for self- appraisal.

Step- III- The Officer reported upon will fill up the Key Assigned Tasks and achievements and other details as required in Section-II and then send PAR to Reporting Authority.

Step-IV- PAR will move for subsequent actions by the respective Reporting, Reviewing and Accepting Authority.

Step- V- After acceptance of PAR by Accepting Authority, the completed PAR is to be send to Nodal Officer of Administrative Ministry/ Department concerned for disclosure to Officers to be reported upon.

c) Disclosure of PAR and disposal of the representation if any, received from the Officer Reported upon:

i) Once the PAR is completed, the Nodal Officer of Administrative Ministry/ Department concerned shall be responsible for communicating the full PAR including the overall Grade and Assessment of Integrity, to the concerned officer by 31st December of the year following the year of report.

ii) In case the concerned officer accepts the PAR, Nodal officer of the concerned Administrative Ministry /Department will close the PAR and completed APAR

will be auto forwarded to the concerned PAR Repository Authorities.

iii) In case of the representation by the Officer Reported upon within the prescribed time limit further action will be taken by the nodal officer of the concerned Administrative Ministry/ Department in the physical form as per extant guidelines.(Para 7.2 of Procedure and Guidelines dated 5th April 2010 and OM dated 19th November 2015) and update revised PAR Grade, if applicable in the system.

d) In case of Reporting/ Reviewing Authority fails to submit the PAR to the next Authority within the stipulated period, the process as mentioned above is to be followed. The APAR for the year shall be completed by 31st December of the year in which the financial year ended and the system will not allow recording of any remarks thereafter. An auto generated message from Online system will be prompted regularly for immediate disposal after lapse of schedule time. APAR should be force forwarded to next authority by Nodal Officer of Ministry endorsing the reasons with the approval of Secretary of respective Administrative Ministry as per following time lines:

Sl. No.	Appraisal by	Time Schedule	Force Forward by Ministry Nodal Officer
1	Reporting Authority	15 th November	5 th December
2	Reviewing Authority	30 th November	20 th December

e) The Information regarding Property Return, Medical, Training, Additional Qualification and awards:

Annual Medical Examination, filing of Annual Property Return, Training Programme(s) attended, additional Qualification acquired and Awards / Honors conferred in respect of officers reported upon and any other document can be uploaded by the respective officer under "Reference upload" section in the system.

f) Schedule of commencement and completion of Online PARs:

The new system is live w.e.f. 9th April 2019. The schedule of commencement and completion of various stages in the Performance Appraisal exercise, which is as follows, should be strictly followed:

SI No.	Activity	Cut Off date
i	CPSEs Nodal Officer will create PAR work flow specifying the Reporting/ Reviewing and Accepting Authorities, generates the PAR and forwards it to the Officer reported upon	31 st July
ii	Forwarding of the PAR after self-appraisal by the officer reported upon to the reporting Authority including targets and relative weights as finalized by the Reporting Authority in consultation with the officer reported upon.	31 st October
iii	Forwarding of the PAR after appraisal by the Reporting Authority to the Reviewing Authority	15 th November
iv	Forwarding of the PAR after review by the Reviewing Authority to the Accepting Authority	30 th November
v	Forwarding of the PAR after appraisal by Accepting Authority to the Nodal Officer	15 th December
vi	Disclosure of the PAR to the Officer reported upon by the Nodal Officer of concerned administrative Ministry/ Department	31 st December

SI No.	Activity	Cut Off date
vii	Submission of representation, if any, by the officer reported upon to the Nodal Officer of concerned administrative Ministry/ Department	15 th January
viii (a)	<u>If no Representation is received;</u> The PAR as disclosed to the Officer reported upon should be treated as final and closed by the Nodal Officer of concerned administrative Ministry/ Department	31 st January
viii (b)	<u>If Representation is received;</u> The Nodal Officer shall put up the representation before the Accepting Authority for disposal in consultation with the committee of the senior officers and with the Reporting / Reviewing Authority as may be required or to the referral board constituted by the Minister in charge of concerned Administrative Ministry	28 th February
viii (c)	Nodal Officer shall make necessary entries in Section VI of the PAR about the final decision of the Accepting Authority on the representation and discloses the same to the officer reported upon	15 th March
viii (d)	The completed PAR would be available to the concerned PAR Repository Authorities to complete the process	31 st March

Finalization of targets and relative weights by the Reporting Authority in consultation with the Officer reported upon and sending a copy thereof to the nodal officer of concerned administrative Ministry/ Department for record will be completed as per extant practice in offline mode (By 15th May of reporting year)

1. Cut-off date from sl. no. in (i) to (vi) will be in the year following the financial year for which PAR is written(2019 for the reporting year 2018-19) and for sl. No.(vii) onwards the cut-off date mentioned will be next year of the financial year i.e. 2020 for the reporting year 2018-19. In case these dates fall on holidays, the cut-off date will be automatically extended to the next working day.

2. APAR will be submitted to Accepting Authority for appraisal only after MoU score/ achievements have been included in the APAR. The time line would stand amended accordingly depending upon release of MoU scores by the Government.

- g) **SPARROW CPSE User Manual:** An Online Help Manual in the form of step by step guide is available under Help Tab on the System.

35 PROBATIONARY PERFORMANCE APPRAISAL REPORTS IN RESPECT OF GMs / EDs/ CEOs

Reference(s):

1. HAL/P &A/43(7)/02 dated 04.02.2002
2. HAL/ HR/43(7)/11 dated 07.09.2011
3. HAL/HR/43(7)/16 dated 20.10.2016
4. HAL/HR/43(7)/19 dated 08.07.2019

- 35.1 Online Probationary PARs for Top Management Incumbents (i.e. Officers in Grade IX and above) is implemented from July 2019 onwards. The Report will be available in the Corporate Single Sign On.
- 35.2 To illustrate, if an Officer gets promoted/ assumed charge of the post in Grade-IX or X , say on 01.07.2019, then the PAR would be raised in the following manner:
- a) Special PAR for the period 01.07.2019 to 30.06.2020 (One year probation period) will be raised in the Online System. This Special PAR would be the basis for confirmation of the Officer in that Grade.
 - b) Annual PAR for the period 01.07.2019 to 31.03.2020 in Online PAR system
 - c) Normal Annual PARs from 01.04.2020 to 31.03.2021 and for subsequent years, in the Online PAR System.

Reference:
PC No. 663 dated 14.07.2004

36.1 Appraisal of the Performance of Personnel at all levels in the Company is of vital importance. It is on the basis of such appraisal that Management determines the effectiveness of the individuals, their development potential, promotability, training needs and career stretch.

36.2 **Format of Performance Appraisal Report**

36.2.1 Separate Formats have been prescribed for Unskilled Workmen, Direct Workmen and Indirect Workmen. Specimen copies of these Formats are enclosed as Annexures – IX, X & XI. Salient Features of the system are as follows:

- a) Quantitative Assessment of Performance / Traits
- b) Evaluation by IA / RA
- c) General Assessment by Sectional Head & Head of the Department

36.2.2 Appraisal is being done Online from the Year 2018-19.

36.2.3 The Initiating Authority and Reviewing Authority will assess the Workmen against the respective Traits based on their performance during the assessment years. A brief description of the Traits is indicated at Annexure-XII. In cases where the Marks awarded by the Reviewing Authority vary from that awarded by the Initiating Authority, the Reviewing Authority will indicate justifications for the same in the Format.

36.3 **PAR Format for Workmen in Security and Fire Discipline**

Reference:
HAL/HR/27(30)/2016 dated 19.12.2016

36.3.1 “Successful completion of Physical Test” is introduced as one of the traits under Assessment in the Performance Appraisal Report of workmen in the Security & Fire Discipline. Weightage for the same would be 20 marks.

36.3.2 Consequent upon allocation of 20 marks for Fitness Test, the weightage assigned for the Traits in their PAR Format i.e.

“achievement of Tasks assigned” and “Attendance & Punctuality” will be reassigned as 20 & 15 marks respectively.

36.4 Reporting Dates

Reference:
HAL/P&A/43(2)/04 dated 05.10.2004

36.4.1 Annual PARs of Workmen are raised for the period 1st July to 30th June of next year.

36.4.2 In cases of Probation, 02 Performance Appraisal Reports will be raised, one on completion of 3 months of probation and the second on completion of the Probationary period i.e. at the end of the 6 months. The Second Probationary PAR will also contain recommendation for confirmation or otherwise of the employee. Both the Reports will be put up together for obtaining approval of the Competent Authority for the confirmation (or otherwise) of the employee.

36.5 Evaluation of Performance:

36.5.1 The Ratings and range of Marks out of (100) adopted for the purpose of evaluating the performance will be as under:

Rating	Range of Marks
Exceptional	100-90
Very Good	89-70
Above Average	69-50
Average	49-41
Below Average	Below 40

36.6 Justification for awarding Exceptional Rating:

Reference:
HAL/P&A/43(4)/07 dated 22.08.2007

36.6.1 In cases of Workmen who are awarded the overall Marks of 90 or above by the IA / RA, the same needs to be substantiated / justified by the HOD in the Report also indicating the significant achievements or contributions made by the Workman during the performance year to appreciate the exceptional performance.

36.7 **Online PAR System for Workmen**

Reference: HAL/HR/43(2)/2019 dated 31.1.19

36.7.1 Online PAR system for workmen has been introduced across the Company effective from the year 2018-19.

36.7.2 The process flow for filling up Online PAR is as follows:

- a) Basic details of workmen will flow from the IFS System.
- b) HR will release the PAR

36.7.3 **Filling up the PAR by Workmen**

- a) Workmen will login using his user Name & Password. Wherever required, concerned IA/ Reporting Officer would help the workmen in filling up the PAR.
- b) Workmen will select the name of IA, fill the Training & Developmental needs column and will submit the PAR to IA.

36.7.4 **Evaluation by IA / Sectional Head**

- a) IA would login to the system with his user name and Password. IA would select the names of Sectional Head, Reviewing Authority (RA) and Head of Department (HoD) of the concerned workmen. Thereafter, he would fill the relevant columns as IA and submit the PAR to the Sectional Head. Wherever IA himself is the Sectional Head, he will also fill the relevant columns as Sectional Head and submit the PAR to the RA.
- b) Wherever IA and Sectional Head are different, after assignment of marks by IA, Sectional Head would fill the relevant columns and submit to RA.

36.7.5 **Evaluation by RA / Head of Department**

- a) RA would login to the system and would fill the relevant columns and would submit to HoD. Wherever RA himself is the HoD, he would fill the relevant columns as HoD also. Final submission of PAR is done by the HoD.

- b) If the workman is directly reporting to the HoD, HoD would fill all the relevant columns, i.e. as IA, Sectional Head, RA & HoD and would submit the PAR.

CHAPTER II

JOB ROTATION

JOB ROTATION

Reference:
PC No. 675 dated 09.04.2007

1 SCOPE

1.1 Job Rotation is an important method for career development of Officers. It needs to be utilized as a mechanism to position Officers in Posts / jobs where they are likely to be effective or where they are likely to have greater job satisfaction. The key objectives of Job Rotation exercise are enumerated below:

- a) Cross-cultural / Cross-Product & Technology exposure to:
 - i) broaden the canvas of work related experience;
 - ii) individual enrichment.
- b) Promote 'One Company Concept' & bring in transparency;
- c) Evolve Competency Framework (Individual vis-a-vis the job);
- d) Officers to acquire broad competency profiles to enable Succession planning;
- e) Visualize future positioning in the Company;
- f) Optimum utilization of manpower.

2 OBJECTIVE

2.1 The primary objective of Job Rotation exercise is identification of successors who can occupy the Key positions in the Company. Key Positions are those that exert critical influence on the operational activities or the strategic objectives of the Company. In other words, if these Key Positions are kept unmanned or if not receiving adequate and appropriate support may place the Company at a competitive disadvantage. Such positions are usually 'pivotal' positions, which mean that effectiveness of other positions is dependent upon effectiveness in the Key Position.

3 IDENTIFICATION OF KEY POSITIONS/JOB ROTATION EXERCISE

- 3.1 Divisions / Offices will identify their respective Key Positions.
- 3.2 Corporate Office in consultation with the Complex Offices would identify the Key Position in Grade VII & above which are likely to fall vacant in the succeeding two years. Job Rotation exercise for Grade VII & above (Grade VI & below exceptionally) would aim at identification of successors in Key positions.
- 3.3 Such Key Positions in one Complex would be shared with the remaining Complexes, with a request to identify & nominate 2 to 3 suitable Officers who can be considered to occupy the identified Key Positions.
- 3.4 Nominations received from the Complexes would be examined and orders notified after finalization at Corporate Office.
- 3.5 Complex Offices would draw up the Job Rotation plan for Officers in Grade V & VI.
- 3.6 For the job rotation of Officers upto Grade IV within the Divisions, the Division concerned may develop an Individual Career Plan for providing adequate exposure in different areas in the Divisions.
- 3.7 Indicative Career Planning Profiles are enclosed as Annexures-XIII & XIV.

4 FUNCTIONAL CATEGORIZATION FOR THE PURPOSE OF JOB ROTATION

- 4.1 For the purpose of effecting job rotations, various Functions in the Company are broadly classified into the following 3 categories:
- a) Disciplines that are specific to a Division / Complex
 - i) Core Disciplines: Involves specializations confined to Product specific Technologies, e.g. Air Frame Assembly, Engine Assembly & Testing, Avionics / Accessories Assembly & Testing, Aircraft Systems & Testing and Design;
 - ii) Specialized Disciplines: That support the core disciplines, but with appropriate familiarization / internship could be utilized in other Divisions e.g.

Design Liaison, Quality Control, Production Engineering, Indigenization;

- b) **Functions:** Disciplines homogenous in character & not specific to a Division / Complex e.g. Finance & Accounts, Human Resource, Security, Vigilance, Works & Services, Plant Maintenance, MSD, IT, IMM, Medical;
- c) **General Management:** Positions in Grade VII & above could exceptionally be filled with Executives from other related Disciplines.

5 **GROUPING OF DIVISIONS FOR THE PURPOSE OF JOB ROTATION**

5.1 The grouping is done as follows:

- a) Inter –locational job rotations in Core Disciplines:
 - i) Aircraft, ARDC, LCA, IJT, Aerospace, AMD Nasik, AOD Nasik, Airport Service Centre, TAD Kanpur & Overhaul, BC;
 - ii) Engine BC, ED Koraput, SED Koraput, IMGT & AERDC;
 - iii) Helicopter, Helicopter MRO, RWRDC & Barrackpore;
 - iv) Hyderabad, Korwa & Lucknow;
 - v) F & F BC and Koraput.
- b) Officers in Core Disciplines including Design to facilitate Career Development without succession to be job rotated in allied Divisions.
- c) Officers in General & Specialized Disciplines as a part of the Career Development and Succession to be job rotated across the Company.
- d) Officers in Grade VII & above can be nominated for Succession, exceptionally, in other Disciplines.

6 **MINIMUM EXPOSURE OF SECTIONS / DEPARTMENTS / SHOPS REQUIRED FOR PROMOTION**

6.1 With a view to assure that Officers are given due opportunities to gain hands on experience in various Sections /Departments/ Divisions, Divisions/Complexes / Offices must ensure, as far as possible, Officers promoted to posts in Grades II to VIII must

have exposure in the following minimum number of Sections / Shops / Departments / Divisions:

a) Promotion to Posts in Grades II to IV:

Sl. No.	Promotion to Grade	Inducted in Grade	Exposure to minimum number of Sections / Shops / Departments
1	II	I	2
2	III	I	3
		II	2
3	IV	I	4
		II	3
		III	2

b) Promotion to Posts in Grades V to VIII:

Sl. No.	Promotion to Grade	Inducted in Grade	Exposure to minimum number of Sections / Shops / Departments	Exposure to minimum number of locations worked
1	V	I	-	2
		II	4(OR)	2
		III	3	-
		IV	2	-
2	VI	I to III	-	2
		IV	3	-
		V	2	-
3	VII	I/II	-	3
		III/IV	-	2
		V	3(OR)	2
4	VIII	I/II/III	-	3
		IV/V/VI	-	2

7 GENERAL CONDITIONS FOR EFFECTING JOB ROTATIONS

7.1 Officers, in general, would be job rotated after 10 yrs. in any geographical location and promotions need to precede job rotations. The maximum tenure for officers at Koraput & Korwa

Divisions will be 5 years, except in cases where the Officers desire to continue at these locations;

- 7.2 Job Rotation exercise also aims at Competence Building amongst Officers. Newly recruited Officers at beginning of their career should be posted in Technology intensive Depts. e.g. Direct Shops, Assembly, Tooling, Testing and QA and subsequently in related functional areas. Moreover, Officers who have been imparted specialized training need to be utilized for a minimum span of 4 years to train successors;
- 7.3 While deciding the job rotation, there is a need to ensure that all Officers are rotated uniformly and the Officer's aptitude & Competencies are also taken into consideration;
- 7.4 Suitable training inputs need to be provided to the Officers job rotated to an area of work with which they are not familiar with;
- 7.5 Divisions / Offices may ensure that before the Superannuation, Officer's request for transfer to home town or to a nearer station, subject to attaining the age of 55 years with consistent good service records (PARs), are considered sympathetically;
- 7.6 To the extent possible, while effecting job rotation, the following individual concerns may also be addressed:
- a) Children Education;
 - b) Spouse Employment;
 - c) Serious Health problems of spouse and dependent children;
 - d) Compassionate Transfers;
 - e) To Divisions/ Offices nearer to Home Town / place of final settlement;
 - f) Mutual Transfers based on requests and acceptability to both the Divisions.

8 AUTHORITIES FOR EFFECTING JOB ROTATIONS

References:

1. HAL/P&A/41(6)/91 dated 20.01.2006
2. HAL/HR/46(10)/2014 dated 27.03.2014
3. HAL/HR/46(10)/2014 dated 10.05.2014
4. HAL/HR/46(10)/2015 dated 05.08.2015
5. HAL/HR/46(10)/2015 dated 14.09.2015

- 8.1 Transfers / Job Rotations of Officers in Grade VIII & above within the Division / Office / Complex or from one Complex to another will require prior approval of CMD;
- 8.2 Functional Directors/CEOs can effect Transfers / Job Rotations of Officers in Grade VII & below, within the Complex, subject to availability of a slot in the concerned Division / Office;
- 8.3 Transfers / Job Rotations of Officers in Grade VII & below from one Complex to another can be decided after consultation between the Functional Directors/CEOs;
- 8.4 Executive Directors / General Managers can effect Transfers / Job Rotations of Officers up to and including Grade V, within the Division, subject to availability of a slot in the concerned Department / Discipline;
- 8.5 Transfers / Job Rotations of Officers in Grades VI & VII within the Disciplines of Finance, Human Resource and IMM / Commercial are to be made in consultation with the concerned Functional Director;
- 8.6 Transfers / Job Rotations of Officers to / from the Systems Audit Department will be made in consultation with the Head of System Audit Department, Corporate Office;
- 8.7 Transfers / Job Rotations of all Officers to / from the Vigilance Department will be made by Corporate Office, based on the recommendations of CVO;
- 8.8 Annual Transfers / Job Rotations covering all the Grades will continue to be effected by Corporate Office;
- 8.9 The Divisions / Offices would continue to obtain necessary Vigilance Clearance before effecting the transfers. To the extent possible, transfers need to be resorted to once in a year during the school vacation time around April – June;

- 8.10 All changes on account of Transfers / Job Rotations in Grade V & above need to be notified to Corporate Office;
- 8.11 No Inter Divisional Job Rotation/Transfers /Assignment involving change of station (geographical location) can be effected without the prior approval of CMD except for assignment /deputation of employees to Customer Bases;
- 8.12 The Complex Offices are required to examine & effect Intra-Complex Job Rotations / Transfers / Assignments of **Workmen**, based on needs & requirements, with the approval of the Functional Director / CEO;
- 8.13 All the cases of Transfers/ Job Rotations/Assignments (Inter Complex) of **Workmen** involving change of Station (Geographical Location) are to be referred to Corporate Office for approval, once in a year, at the time of Annual Job Rotations.

9 INTER DIVISIONAL TRANSFER REQUESTS ON PERSONAL/ COMPASSIONATE GROUNDS

<p>Reference: PC No. 675 dated 09.04.2007</p>

- 9.1 It has been observed that employees or their dependents (Parents, Spouse etc.,) approach external agencies viz; Hon'ble Ministers of Central Govt. / State Govt., MPs, MLAs, VIPs etc. requesting for inter divisional transfer of the employees concerned, on personal / Compassionate grounds. While such actions are violative of the provisions of the "Conduct Discipline Appeal Rules" and "Standing Orders", it is a fact that there is no mechanism as such to take notice of such requests for consideration of cases, which are genuine and stand on merit. Therefore, the need to create such a mechanism has been felt.

9.2 Coverage

The policy would be applicable to all employees of the Organization. Personal/ Compassionate Ground would cover inter-alia, the following categories of cases:

- a) Employees superannuating within 3 succeeding calendar years so as to facilitate post retirement settlement in places where HAL's Divisions / Offices are located;

- b) Sickness of self & direct dependents (Wife, children & parents) for which no treatment is available at the current place of posting or such sickness necessitating change of climate etc;
- c) Relocation to the same place of posting as that of the spouse;
- d) Other reasons viz, children's education etc;
- e) Mutual transfers etc.

9.3 **Authority for job changes:**

Same Authorities as detailed at Para-8 above.

9.4 **Procedure:**

- a) An employee desirous of putting forth his application may do so by clearly indicating the category with adequate proof thereof to his HOD;
- b) The HOD concerned, on receipt of such application, would forward the same with his remarks to the HR Head of the Division / Office;
- c) All such applications received would be consolidated bi-annually and would be put forth before a Committee consisting of the representatives of Technical Department, Finance Department and Human Resource Department for in depth examination of such requests;
- d) The Committee would give its recommendation to the Divisional Head for consideration;
- e) The Divisional Head would consider the recommended cases, if need be in consultation with the CoMS (in respect of cases recommended in medical grounds) and order further action;
- f) Thereafter, the HR Department of the Division would take appropriate action;
- g) Similar process would be followed by Complex Office / Corporate Office with regard to cases falling within their purview as per the delegated level of authorities for such job changes;

- h) In case of non-consideration of the cases forwarded to the other Divisions / Complex, the Division /Complex concerned would forward the same to the Corporate HR to include the same in the list of Annual job Rotation cases for decision by Directors & CEOs.

10 CHANGE OF POSTINGS OF MANAGEMENT / DESIGN TRAINEES

Reference:
HAL/P&A/25(35)/2009/01 dated 24.04.2009

- 10.1 The guidelines for change of posting of Management/ Design Trainees are as under:
- 10.1.1 The Division of posting are already given to the Trainees at the time of joining and the same is accepted by them. However, only in exceptional cases, requests for change of posting either on mutual basis or on individual basis will be examined and considered;
- 10.1.2 Applications of MTs / DTs for change of posting on mutual basis within the same batch and in the same branch of Engineering / Discipline will only be considered;
- 10.1.3 Whenever request for change of posting is considered (either on mutual basis or on individual requests), the MTs / DTs are required to submit application through the Division in which they are posted, with specific recommendations of the Department Head and approval of the Divisional Head. The applications will be forwarded to the Course Director at HMA by the HR Head of the Division and will in turn be forwarded to Corporate Office. The Divisions while forwarding the applications will have to clearly specify whether the MT / DT can be spared and acceptable in case of mutual requests within the same Branch of Engineering or Discipline or a replacement. If specific recommendations are not mentioned, it would be presumed that the Division is prepared to spare the MT / DT without any replacement;
- 10.1.4 Requests of MTs / DTs based on the recommendations of Divisions / HMA will be processed and the change of posting will be effected only at the time of absorption as Engineer in Grade-II, subject to approval of Competent Authority. Wherever MTs / DTs are put on review or the training period is extended, their request for change of posting even though approved by the Competent Authority will not be considered;

- 10.1.5 Change of posting of MTs / DTs with earlier Batches either as MTs / DTs or as an Officer or with subsequent Batches of MTs / DTs even though they may belong to the same Discipline will not be entertained and considered. Such applications need not be forwarded by the Divisions;
- 10.1.6 While forwarding the applications of MTs / DTs of the same Batch and same Discipline either on mutual basis or on Individual request basis during the training period for change of posting / Inter Divisional transfer, an undertaking will be obtained by the Division from the Trainees stating that they would not seek any change of posting / transfer either during the training period or on their absorption, for a period of 5 years either on individual basis or mutual basis;
- 10.1.7 Divisional HR Heads are required to ensure that applications of MTs/ DTs are forwarded along with the Undertaking.

11 JOB ALLOCATION IN RESPECT OF OFFICERS WHO ARE INDUCTED AS DESIGN TRAINEES

Reference:
HAL/HR/25 (41)/2012 dated 05.03.2012

- 11.1 Officers who are appointed as Design Trainees are not to be job rotated to Areas/Departments other than Design/Design Liaison Engineering.

12 JOB ROTATION / TRANSFER IN RESPECT OF EMPLOYEES WORKING IN THE VIGILANCE DEPARTMENT

References:
1. HAL/P&A/27(1)-POL/MPA/96/260 dated 08.01.1996
2. HAL/P&A/41(6)/2000 dated 13.09.2000
3. HAL/P&A/41(6)/91 dated 20.01.2006

- 12.1 Transfers / Job Rotations of Officers working in Vigilance Department, including transfer from one Division / Complex / Offices to another, would be recommended by the Chief Vigilance Officer and notified by HR Department at Corporate Office. Similarly, Job Rotation of Workmen working in the Vigilance Department, are to be effected by the Chief Vigilance Officer at Corporate Office only.

13 JOB ROTATION / TRANSFER IN RESPECT OF EMPLOYEES WORKING IN SENSITIVE AREAS

References:

1. HAL/P&A/41(6)/97/ dated 07.06.1997
2. HAL/HR/41(6)/10 dated 24.11.2010
3. HAL/HR/41(6)/2012 dated 05.12.2012
4. HAL/HR/46(10)/2016 dated 07.12.2017

- 13.1 Employees working in sensitive areas have to be job rotated to a non-sensitive area on completion of five years of service in the same area. Competent Authority to effect Job Rotations in sensitive areas are the same as mentioned in para-8 above. There is a need to ensure that job rotation is effected as and when they are about to complete the stipulated period of working in the same area.
- 13.2 The exercise of compiling the list of all eligible Officers who have completed or about to complete the stipulated tenure of service in sensitive areas should commence every year in the month of December and further it is to be ensured that the proposals for job rotation are put up to the Competent Authority as at para-8 above. All job rotations of the identified officers should be completed before end of February of the following year. Further, Divisions / Offices are requested to prepare a plan of action for effecting job rotations in the sensitive areas for periods varying from one year to three years.
- 13.3 A need was felt in 2016/2017 to review the then existing list of Sensitive Departments/Sections/Areas in view of aspects like no/ reduced public dealings, changes in Systems/Procedures which have nullified the vulnerability of Departments/Sections from being Sensitive, etc.
- 13.4 Based on the recommendations of an Inter-disciplinary Committee and further examination of the matter, Management Committee at its 300th Meeting held on 2nd November 2017 had approved the removal of specified Departments/Sections/Areas from the purview of Sensitive, for the purpose of effecting Job Rotations.
- 13.5 The Departments / Sections / Areas / Functions which would continue to be Sensitive and those which are removed from the purview of Sensitive, are listed as follows:

Sl. No	Earlier Sensitive Departments/ Sections/ Areas	Departments/ Sections/ Areas/ Functions which would continue to be Sensitive	Departments/ Sections/Areas/ Functions which are removed from the purview of Sensitive
I	Bills Payable	Bills Payable	-
II	Pay Rolls	Pay Rolls	-
III	Purchase & Stores	<u>Purchase:</u> Employees handling all Pre Contract and Post Contract Purchase Order related activities.	<u>Material Planning</u> Material Review & Planning <u>Purchase</u> i) MPR Initiation; ii) Supporting Activities like Receipt & Despatch of Documents & files / Tender Opening Cell / MIS Cell / Vendor Registration Cell
III	Purchase & Stores	<u>Purchase:</u> Employees handling all Pre Contract and Post Contract Purchase Order related activities.	<u>Material Planning</u> Material Review & Planning <u>Purchase</u> i) MPR Initiation; ii) Supporting Activities like Receipt & Despatch of Documents & Files/ Tender Opening Cell /MIS Cell / Vendor Registration Cell
		<u>Stores</u> i) Receiving Stores- Goods Inward Section ii) Salvage Stores	<u>Stores</u> i) RR Generation (generation of RR, Offer to Inspection, move to Holding Stores) ii) Holding Stores iii) Stock Control

Sl. No	Earlier Sensitive Departments/ Sections/ Areas	Departments/ Sections/ Areas/ Functions which would continue to be Sensitive	Departments/ Sections/Areas/ Functions which are removed from the purview of Sensitive
			iv) Customs & Excise/ GST Activities v) Preservation Section vi) Foreign Processing Section vii) Shipping Section viii) Tool Crib ix) Commercial Stores
IV	Recruitment & Promotion	Recruitment	Promotion
V	Security	Executives	Security Guards
VI	Vigilance	Vigilance	-
VII	Civil Engineering	Employees working in the following Areas: i) Execution/ Supervision of Contracts related to Construction Works, Maintenance Works & Service Contracts; ii) Tendering related activities including preparation of Tender Documents, evaluation of Tenders and acceptance of Tenders.	i) Horticulture; ii) Planning, Environment and Safety Engineering; iii) Employees dealing with : a) Environment Audit / ISO 14001 Audit. b) Cleaning & Sanitation. c) Water Supply/ disposal of Waste iv) Employees belonging to the Trades of Plumber, Carpenter, Painter & Mason.

Sl. No	Earlier Sensitive Departments/ Sections/ Areas	Departments/ Sections/ Areas/ Functions which would continue to be Sensitive	Departments/ Sections/Areas/ Functions which are removed from the purview of Sensitive
VIII	Plant Maintenance (Mechanical & Electrical)	<p>Employees working in the following Areas:</p> <p>i) Execution/ Supervision of Contracts related to Construction Works, Maintenance Works & Service Contracts;</p> <p>ii) Tendering related activities like preparation of Tender Documents, evaluation of Tenders and acceptance of Tenders</p>	<p>i) Electrical Repair and Maintenance of Plant, Machinery, Buildings, Street Lights, etc.</p> <p>ii) Operation of Substation, DG Sets and A/C Plant;</p> <p>iii) Employees dealing with Energy Audit and Pollution Control Measures;</p> <p>iv) Employees belonging to the Trades of Electrician, Welder, Fitter, Fabricator etc.</p> <p>v) Employees working in Safety Engineering</p>
IX	Canteen	-	Canteen
X	Stores Inspection	Stores Inspection	-
XI	Sub Contract Cell/ Outsourcing	<p>i) Commercial Group (involved in Tendering, Ordering, PO follow up & Payment activities.).</p> <p>ii) Quality Group (involved in PDI/ Inward Inspection, Quality Audits)</p>	<p>i) Vendor Development Group (including identification/ registration)</p> <p>ii) Technical Support/ co-ordination Group (including MIS Cells, MSR Initiation)</p> <p>iii) Logistics Group (including Receipt, RR Generation, Stock Control)</p>

Sl. No	Earlier Sensitive Departments/ Sections/ Areas	Departments/ Sections/ Areas/ Functions which would continue to be Sensitive	Departments/ Sections/Areas/ Functions which are removed from the purview of Sensitive
		iii) Finance Group (involved in making payments).	iv) Outsourcing Department at Corporate Office.
XII	Welfare including Township Administration	i) Welfare ii) Allotment of Quarters & Shops under Township Administration	i) Land Management and Estate related Matters; ii) Township Records/Inventory; iii) Leave & License Renewal and ;Lease related activities of Outsiders iv) Eviction related matters
XIII	Audit	Audit	-
XIV	Transport Maintenance	Transport Maintenance	-

- 13.6 Officers working in all the Sensitive Areas mentioned above should invariably be job rotated on completion of not more than 5 years' service in the same Area.
- 13.7 Officers who are transferred from Technical Departments to IMM / Commercial Departments would have an option to revert back to their parent Technical Discipline / Department(s) on completion of the stipulated period of 5 years.
- 13.8 Officers who do not opt for reversion to their parent Technical Department/Division and continue to be in the IMM / Commercial Departments are to be job rotated / transferred within the Divisions / to another Division / Complex with due approval of the authority as at Para-8 above.
- 13.9 Job Rotation of Security Guards in the same Geographical Location will continue, considering the nature of duties handled by them.

- 13.10 Employees involved in Vigilance related cases are however required to be job rotated immediately, without reference to the period of service rendered in the sensitive Department / Area.
- 13.11 Officers / Workmen job rotated from a sensitive area shall not be posted back to the same sensitive area or another sensitive area, before completion of a cooling off period of 2 years;
- 13.12 In case job rotation as stated at para 13.11 above is not feasible due to the nature of work in the Department, the Division/ Office may effect the job rotation as indicated below:
- a) Officers / workmen will be job rotated to another Division / Complex;
 - b) Officers / Workmen will be job rotated to another Section in the same Department;
- 13.13 While effecting the job rotations, Officers /Workmen who have completed the longest service in the Department will be job rotated first and so on (First in First Out). However, in no case an officer / workman will be allowed to continue in a sensitive post beyond 5 years;

<p>Reference: HAL/HR/41(6)/97 dated 16.10.2000</p>
--

- 14 POSTING OF PAs/ JEAs /EAs IN THE OFFICES OF AGMS/GMS AND ABOVE AND OTHER SENSITIVE DEPTS.**
- 14.1 Executives working in sensitive areas are to be job rotated on completion of not more than 5 years' service, to another area to ensure transparency in the functioning of such sensitive Departments.
- 14.2 Similar to sensitive Areas/Departments, posts of Personnel Assistants / working in the Offices of AGMs/GMs and above and other Departments are considered sensitive; as they have access to Confidential / Secret information very frequently and therefore, integrity and maintaining confidentiality should be some of the important traits of such personnel. However, if they are rotated, it would be from one sensitive area to another. Their rotations once in 5 years will not fully serve the purpose of rotating personnel working in sensitive departments.
- 14.3 It is therefore decided to adopt the following measures in the cases of PAs/ JEAs/EAs posted in the office of Addl. General

Managers and above and other sensitive Departments in order to ensure that their integrity is beyond doubt and they always keep confidentiality of information:-

- a) The appointment of PAs/JEAs/ EAs in HAL will be subject to prior police clearance through the District Administration about their character and antecedents and also prior verification from the organization(s), if any, where they had been working before their appointment in HAL, covering a period of at least preceding 5 years;
- b) Placement of Personnel as PAs/JEAs/EAs should have prior Vigilance Clearance from CVO/VO of Corporate Office or Head of Vigilance of the respective Divisions, as the case may be;
- c) An undertaking from such personnel about maintaining secrecy /confidentiality of information should be taken before they are posted in the Office of AGM/GM and above and in other sensitive Departments;
- d) Employees promoted as PAs/JEAs/EAs and posted to Offices of AGMs & above and other sensitive Departments should give a similar undertaking indicated above. Such posting should be subject to prior Vigilance Clearance from CVO of Corporate Office or Head of Vigilance of the respective Divisions, as the case may be;
- e) Re-verification of character and antecedents of above personnel is to be carried out once in three years as per the extant Rules of the Company.

15 POSTING OF TECHNICAL MANPOWER TO SYSTEMS AUDIT

Reference: SYA/CO/Manpower/25/09/333/2034 dated 09.01.2009

- 15.1 HAL Systems Audit Department is set up with the intention to study Divisional Operations on a holistic systems basis with the objective of suggesting improvements for increasing their efficiency and effectiveness;
- 15.2 Recognizing the need for Cross Functional approach in such studies, it was envisaged that officers from the Technical Stream capable of contributing effectively to the objectives of System Audit studies, would be posted on short tenure basis of three years to the Department;

15.3 Divisions should ensure that Technical Officers having good understanding of the Technical Aspects of the Division and having a flair for doing such activities are posted to the Systems Audit Department.

16 POSTING OF OFFICERS AS HEAD OF QUALITY DEPARTMENT

References:

1. HAL/HR/46(10)/2013 dated 17.10.2013
2. HAL/GM (QA)/100/125/2018 dated 21.05.2018

16.1 Divisions/ Complex Offices are required to consult General Manager (Quality), Corporate Office in all cases of Transfers/Rotations of Divisional Quality Heads;

16.2 Application for approval of Quality Head shall be in the format at Annexure-XV. The Application Format shall be filled and signed by respective Production Division/ R&D Centre and forwarded to Head of Quality at Corporate Office;

16.3 Head of Quality, Corporate Office would scrutinize the Application and if found acceptable, it will be forwarded to Regional DGAQA for clearance.

17 DISCIPLINARY AUTHORITY IN RESPECT OF TRANSFERRED EMPLOYEES

Reference:

HAL/HR/19(2)/VOL.VI/2017 dated 04.07.2017

17.1 Transferee Division/ Complex would initiate Disciplinary action in the case of an Employee who is transferred from a Division/Office but not reports to the Transferee Division/Office.

18 SUCCESSION PLANNING FOR POSTS IN GRADES-IX (GENERAL MANAGER OR EQUIVALENT LEVEL) & ABOVE

Reference:

PC No. 714 dated 16.11.2017

18.1 With the changing business environment, the Company would need to gear up for future challenges and re-orient the Organization for meeting competition. In this context, Personnel with domain knowledge and managerial

competence need to be developed / upgraded and positioned at key areas in the Organization for achieving overall growth.

18.2 Succession Planning, therefore, is identified as one of the focus areas to ensure continuous and timely supply of high performance individuals, who will occupy leadership roles as identified by HAL.

18.3 **Definitions**

18.3.1 Succession Planning in an ongoing process of systematically identifying, assessing and developing talent to ensure manning of specific critical positions in the Organization for continued success.

18.3.2 Critical positions are those positions which:

- a) Are vital and exert influence on the business outcomes & success;
- b) Require candidates with domain knowledge with adequate experience which are acquired over the years and are not readily available in the market and
- c) Influence the performance of Executives at various levels at Divisions/ R&D Centres / Offices to ensure excellence in performance.

18.4 **Objectives**

- a) To identify suitable candidates to man the critical positions that are imperative for the success of HAL;
- b) To meet the Organisational requirement of positioning replacements to posts likely to fall vacant on account of superannuation etc.; and
- c) Make available a pool of qualified individuals with the requisite domain knowledge and experience from the internal cadre of the Organisation to perform and occupy leadership positions that are critical for the functioning of the Organisation by way of various planned interventions.

18.5 **Scope & Applicability**

18.5.1 The Succession Planning Policy will be applicable for manning the Critical Positions identified in Grade-IX & above, which will include:

- a) Chairman & Managing Director and Full-Time Directors of the Company (to ensure that Internal Talent is available to apply and compete for such posts as and when they are due to fall vacant);
- b) Chief Executive Officers in the four Complexes;
- c) Heads of major Production Divisions / R&D Centres in Grade-IX – These positions are identified keeping in view the size of Divisions / R&D Centres, nature & complexity of work / business, etc. A list of the 39 posts identified as Critical is indicated at Annexure-XVI. List of positions that can be operated even in lower Levels is enclosed as Annexure-XVII.

18.5.2 Positions at the level of Executive Director (Grade-X) are not being considered as Critical in nature as these can be manned at the Level of General Manager (Grade-IX). Generally, Officers in Grade-IX who meet the requirements for posts in Grade – X are promoted to that Level. In other words, an incumbent at a Critical Position in Grade- IX may get promoted to Grade – X, the post being elevated to Grade-X. In such an event, the position in Grade – IX will continue to be considered as a Critical Position and suitable candidate/s will be identified to fill the post in Grade – IX only, on retirement of the incumbent in Grade – X.

Example: The post of GM (Planning & Projects), Corporate Office is considered as a Critical Post. However, if an incumbent is in position as ED (Planning & Projects), Corporate Office, suitable candidate/s will be identified for the post of GM (Planning & Projects), Corporate Office, and posted on retirement of the incumbent in Grade-X.

18.5.3 Suitable candidates will also be identified for Positions of other Key Managerial Personnel viz. Company Secretary, irrespective of the Grade in which it is operated.

18.5.4 Positions at the level of Grade - IX like Chief of Production; Chief of Project; Chief Designers; etc are not considered as Critical Positions under the Policy. However, Officers will continue to be promoted to such Posts based on requirements. They can be posted to Critical Positions, when the positions fall vacant.

18.5.5 Based on the availability of suitable candidates, positions indicated at Annexure-XVII as also positions of other Heads of Department (HoD) at Corporate Office, HoDs at Complex Offices, Heads of Liaison Offices, etc. can also be manned by Officers in Grade -IX.

- 18.6 **Process**
- 18.6.1 Identification of suitable candidates for the identified Critical Positions will generally be based on the following parameters:
- a) Officer should have obtained Average PAR Marks of 80 or above (2017-18 onwards) and corresponding PAR Grading in the Range of 1 to 1.8 in the Scale of 1 to 5 (prior to 2017-18) in Grade IX / X, in the preceding 5 years, for the post of Chief Executive Officers; and PAR Marks of '80' or above out of '100' in Grade VIII, in the preceding 5 years, for the post of General Managers;
 - b) Officer should have served in at least two Divisions / R&D Centres and / or Locations of the Company and preferably should have served in Direct & Indirect Departments for at least one tenure, for the critical positions identified in the Technical Disciplines;
 - c) Experience Profile and exposure of the Officer to different areas / functions; and;
 - d) Training/s undergone, Certifications acquired and special assignments undertaken by the Officer during the course of Service (including Higher studies; Leadership Development Programmes; etc.);
- 18.6.2 Taking into account availability of candidates internally, adequate number of candidates with domain knowledge and experience will be identified for each Critical Position falling vacant;
- 18.6.3 Generally, the exercise to identify suitable candidate/s will commence three years prior to the date on which the Critical Position/s is/are due to fall vacant. However, it should be ensured that such candidate/s will be identified during January of the preceding year for the Critical Positions falling vacant in the subsequent year.
- 18.6.4 Annual Job Rotations/Transfers during the year will be effected keeping in view the Potential candidates identified for Critical Posts. Also, suitability of potential candidates to take on higher responsibilities and man Critical Positions will be assessed during the Promotion Interviews held every year. Necessary Learning & Development interventions may also be planned to meet the Role requirements of the Critical Positions and enhance leadership capabilities.

- 18.6.5 While Succession Planning will usually be done for posts required to be manned by Officers in Grades – IX, attempts to identify suitable candidate/s for Divisions /R & D Centres that can be headed by Officers in Grades – VIII & below will also be made.
- 18.6.6 Any other Critical Position which may get identified at the Senior Management level in the wake of new Projects/ Programmes etc. will be considered for identification of suitable candidate/s under the Scheme.
- 18.6.7 The list of potential candidates identified in consultation with the respective Directors/CEOs will be put up to the Chairman & Managing Director for consideration and approval. Orders for movement of identified candidates will generally be issued two months prior to the Critical Positions falling vacant, to ensure smooth transition.
- 18.6.8 Powers to interpret and modify the Policy is vested with the Chairman & Managing Director of the Company.

CHAPTER III

TRAINING

TRAINING

- 1.1 Learning & Development through Training is an Organization's planned efforts to help employees acquire job-related knowledge, skills, abilities, & behaviors, with the goal of applying these on the job. The need for improved productivity has become globally accepted and an effective Training and Learning & Development Program plays a significant role in accomplishing this Objective. It has further become necessary in view of the rapid technological advancements in today's modern world and the resultant competition in the open market to invest in Training of Employees.
- 1.2 Organisational Change demands a Learning & Development Strategy. The Company employs personnel who possess a wide variety of skills. The manufacture of aircraft has undergone revolutionary changes both conceptually and technologically. The Company faces the challenge of updating the skills of its manpower and enables it to cope with these changes. Further, advancement in the management techniques and skills brought in its wake the need to re-orient manpower to meet these challenges. The need to revitalize our training and development functions and make these contribute to greater organizational effectiveness was thus apparent. In fact, one of the objectives of the Company, which is reproduced below, bears directly on this intent:
- "To continuously develop the competence and skill of its employees."*
- 1.3 In order to achieve this objective, HAL has embarked on an extensive programme for imparting training to its employees, both within the Company and outside, in collaboration with several prestigious institutions in India and Abroad.
- 1.4 The three prong approach to Human Resources Development is as spelt out below:
- a) Quantitative analysis of available human skills potential for their development;
 - b) Organize and conduct suitable training programmes for acquisition of new skills;
 - c) Motivate existing employees to acquire the required additional skills and to make them effective in new areas;
- 1.5 The requisite manpower in different areas of specializations are to be made available well in time thus entailing commencement of retraining much earlier. With the above

objective in view and with training as the key basis of Human Resources Development, three Agencies have been set up in the Company to look after Training and Development activities. These are:

- a) HAL Management Academy (HMA);
- b) Governing Council (Learning & Development);
- c) Technical Training Institutes / Centres.

2 TRAINING ACTIVITIES AT HAL MANAGEMENT ACADEMY (HMA)

2.1 The HAL Management Academy was established in 1969 as the apex training institution in the Company to develop plans as well as to oversee implementation of both technical and management training. The activities of the Management Academy are as under:

- a) Conducting Training Programmes for Middle and Senior Managers;
- b) Training for Management Trainees, Design Trainees and lateral inductees;
- c) Overseeing the Divisional training activities relating to the Management Programmes;
- d) Coordinating training activities with Corporate Office.

2.2 People Development initiatives take a strategic role for driving business results. In this direction, a wide variety of Training programmes are conducted by HMA for Executives from the entry level to the senior-most level in the Organisation to develop functional, operational, technical, managerial and leadership competencies. As an Aeronautical Giant and one of the largest Aeronautical Complexes in South-east Asia with 20 Production Divisions and 11 R & D Centres, HAL has a wealth of knowledge and experience in the field of Aerospace Technology and Management. Utilizing this knowledge pool and Faculty with industry experience, HMA has emerged as a Centre for Aerospace Technology and Management. HMA provides an opportunity for exploring within oneself the potential for enlarging the personal and Organisational envelope.

2.3

The types of Programmes conducted at HMA can broadly be categorized as follows:

- a) **Standard Programmes** which offer the latest developments and advancements in the area of Technology & Management and thus enable Officers to shoulder higher responsibilities and to think out of the box to resolve issues and challenges faced by them in day-to-day activities. Titles include Middle Management Development; Senior Managers Program; Advanced Management Program (with modules covering Strategic Management, Business Management, Finance Management & Leadership), Contracts, Communication & Presentation, Lean , Quality, etc.
- b) **Alignment Workshops** which are specifically oriented towards Divisions and ultimately aimed at achieving Divisional/ Company goals. The workshop series include Vision Workshops, Strategic Deployment, Kaizen etc.
- c) **Computer Based Programmes** which offer to develop excellence in the use of software tools such as Advanced MS Excel, MS Projects, MATLAB, MINI TAB etc.
- d) **PG Diploma / Certification Programmes** which are developed by HMA in association with Professional Bodies, Management Institutes etc. Professional Certification Programmes are offered in Project Management, Six Sigma (Black Belt), Quality & Reliability Certification etc. Programmes for External Engineering Graduates and Executives aspiring for a career in the field of Aerospace Management are the following:
 - i) Post Graduate Diploma in Management (PGDM) (AICTE approved 24 months Full Time Residential Programmes in Aviation Management and Production Management with Aviation Industry Exposure);
 - ii) Executive Post Graduate Diploma in Aviation Management (PGDAM) (AICTE approved 15 months Full Time Executive Programme with Aerospace Industry Exposure Module and International Immersion Module);
 - iii) Certification Programme in Aerospace Management (CPAM) (03 months Full Time Course with Aerospace Industry Exposure).

- e) **Division Specific Programmes** which are specific to Divisions such as Dimensioning & Tolerance, TRIZ, Mentoring etc;
- f) **Senior / Corporate Level Programmes** which include Leadership Excellence, Business Excellence and Operational Excellence programmes. These are conducted in association with the IIMs. Leadership Development Programmes are also conducted in association with IIM Ahmedabad for selected Officers in Grades VI, VII & VIII to prepare them for shouldering higher responsibilities. International Contracts & Negotiations Program is conducted in association with NLSIU, Bangalore.
- g) **Technical Programmes and Functional Excellence Programmes** which aim to achieve professional excellence. A few functional (Technical) programmes are offered such as Basics of Aircraft Technology, Aircraft Mechanical Systems, Aircraft Avionics Systems, Aircraft Assembly & Testing, Technology Management, Flight Safety & Accident Investigation, Network Administration, Safety & Plant Maintenance, Quality (AS 9100C), Structural & System Design etc.
- h) **Conferences / Workshops / Seminars** which include Intra-HAL Conferences/Workshops/Seminars on current topics, relevant to Aerospace Industry Manufacturing Excellence, Supply Chain Management (SCM), Product Life Cycle Management (PLCM) etc.;
- i) **Other Programmes** include Women Empowerment, Post Retirement Planning, Impact of Competition, HR for Line Managers, Refresher Programmes for Management and Design Trainees, etc.
- j) **Open Programmes / Programmes for other Organizations:** The training programmes conducted at HAL Management Academy are not restricted to the Company Executives alone, but are open to Executives from other Organisations as well. The programmes are patronized by a number of Organisations and many have sought the assistance of the Management Academy in conducting tailor-made programmes. Open Programmes are conducted (duration of 3 to 10 days) in Areas like Technical, Functional, OB / OD etc. In addition, Standard Programmes are also conducted.

- k) **Programmes for Engineering Colleges - Elective subjects for Engineering Students:** HMA has designed Elective Subjects for Mechanical, Electrical & Aerospace Streams for the final Semester. HMA can develop Elective Subjects based on specific requirements of Engineering Colleges.

2.4 The calendar of programmes of courses conducted in the HAL Management Academy is drawn up by the Academy every Financial Year and circulated amongst the Divisions. The Divisions are required to nominate suitable personnel for the different courses and send their nominations directly to the HAL Management Academy. The various courses conducted in the HAL Management Academy are formulated keeping in view the training needs of the Officers at various levels, thereby enhancing their efficiency and effectiveness in their existing jobs. The training needs of the Officers need to be identified by the Divisions and it should be ensured that suitable candidates are nominated for various courses conducted at HAL Management Academy to avoid last minute drop outs which would disrupt conduct of the courses. Divisions should plan in advance the nomination of Officers and make alternative arrangements before the concerned Officers are deputed for these courses with least disruption in the work.

2.5 The programmes provide a platform for the participants to enlarge their perspective by exchange of practical experience and best practices across the Divisions.

2.6 **Faculty**

2.6.1 Training programmes offered by the HAL Management Academy are conducted by qualified and experienced Faculty and visiting Faculty from within the Organisation, supported by eminent Faculty drawn from reputed Management Training Institutions such as IIMs, Bangalore, Calcutta & Ahmedabad; Administrative Staff College of India, Hyderabad; IIT Madras and other Organisations all over India, in addition to reputed Management Consultants. The core competence of the Faculty is to assess the training needs proactively and create programmes for the future needs of the Company and to respond quickly to the customized requirements of internal customers.

2.7 **Methodology**

2.7.1 The HAL Management Academy uses a balanced mix of training methodology in conducting its programmes. The mix consists of conventional methods of classroom learning and

discussion as well as modern methods such as Case Studies, Syndicate T-Groups, Role-Play, Think-Tanks and Management Games including Computer Aided simulated Business Experience etc. HAL Management Academy has also adopted the concept of 'b-learning' (blended learning), which amalgamates the nuances of classroom learning and e-learning methods. This blend in methodology has been found to be very useful in compressing learning time as well as in bringing about lasting changes in attitude. Project Work, including study of live problems, is included in long-duration programmes. Out Bound Learning is also a part of few of the programmes. Pre-test & Post-test are conducted and initiation of implementation of the learning is structured into the training programmes. Individual and Group action plans are the means to transfer learning from the Classroom to the work place.

2.8 **Training Material**

2.8.1 The HAL Management Academy has an impressive collection of Films ranging from areas of general learning to detailed functional areas of Management. Apart from Films, the Academy has sophisticated audio-visual aids for training in Public Speaking and Group presentations. Books are issued to participants for reference during the programmes together with carry-away notes and handouts.

2.9 **Regulation of DA**

Reference: HAL/HR/11(17)/2017/A13 dated 08.03.2017

Payment of DA for attending Sessions / Training Programmes at HMA will be regulated as under:

2.9.1 Officers (both from Bangalore as well as from outlying Divisions) attending Residential Training Programmes in HMA will not be paid Daily Allowance.

2.9.2 Officers from outlying Divisions attending Sessions/ Training Programmes in HMA will be provided with accommodation and Canteen Services including Breakfast, Lunch, Tea and Dinner. HMA would bear the cost of the Canteen Services to be provided during the course of training to such Officers. In addition, they will be paid Cash Allowance as per Rules.

2.9.3 Officers from Bangalore who are attending residential programmes in HMA will not normally be provided lodging facility in HMA Hostel during the period of their training. HMA

would bear the cost of lunch, tea, etc. to be provided during the course of training to such Officers.

2.9.4 However, if such Officers are required to stay in HMA for certain Training Programmes, they will be provided with Canteen Services including Breakfast, Lunch, Tea and Dinner. HMA would bear the cost of the Canteen Services to be provided during the course of training to such Officers. They will also be paid the Cash Allowance, as per Rules.

2.9.5 Canteen Allowance will continue to be recovered @ Rs.100/- per day for the days on which Residential Training programme is attended. In other words, even though Daily Allowance (DA) will not be payable to such participants, considering that total food expenses would be borne by the Company, recovery of Canteen Allowance would continue to be applicable.

2.10 **Training of Management Trainees / Design Trainees:**

2.10.1 With a view to induct high caliber manpower with good academic record to fill junior management positions in the organization, the Company started recruiting Management Trainees in the Technical Disciplines in 1969. The scheme of Management Trainees in Human Resources (HR), Finance & Integrated Materials Management (IMM) disciplines were started during the years 1976 and 1987 respectively. Further, the scheme of Management Trainees in Legal, Marketing, Civil & Architecture disciplines were introduced during the year 2013.

2.10.2 The recruitment is based upon All India Open Competitive Examinations / GATE Scores and Interview. Management Trainees (Technical) are recruited from amongst Engineering Graduates in Aeronautical, Computer Science, Electrical, Electronics, Mechanical, Metallurgy & Production disciplines. Management Trainees (IMM) are recruited from amongst Engineering Graduates in Electrical, Mechanical & Production disciplines. Management Trainees (Marketing) are recruited from amongst Engineering Graduates in Electrical, Electronics, and Mechanical & Production discipline, with Post Graduate Degree / Diploma in Marketing Management. Management Trainees (HR) are recruited amongst the Graduates with Post Graduate Degree / Diploma / MBA / MSW / MA with specialization in Human Resources / Personnel Management / Industrial Relations/ Labour Management / Organizational Development / Human Resource Development / Labour Welfare etc. Management Trainees (Finance) are recruited amongst Graduates with a pass in final examination of CA / ICWA. Management Trainees (Legal) are recruited from amongst Law Graduates. Management Trainee (Civil) &

Management Trainees (Architecture) are recruited from amongst Graduates in Civil Engineering and Architecture respectively.

2.10.3 The scheme of recruitment of Design Trainees through Campus Selections is in operation from 1970 onwards. Design Trainees are recruited from amongst Graduate Engineers in Aeronautical, Electrical, Electronics & Mechanical disciplines from the identified Institutes for the Design areas. They are also recruited through All India Open Competitive Examination / Interview.

2.10.4 Management Trainees / Design Trainees are centrally recruited by the Corporate Office and are given training for a period of 52 weeks.

2.10.5 Upon successful completion of training, they are appointed to posts in Grade – II at the minimum of the pay scale. The schedule of training of Management Trainees is at Annexure – XVIII. During the period of their training they are paid the emoluments comprising of Basic Pay, Variable Dearness Allowance & Canteen Allowance. Besides, bachelor accommodation or House Rent Allowance in lieu of accommodation are also admissible during the training period. On the completion of the prescribed 52 weeks training, the absorption of the trainees in Grade – II / I shall be subjected to one of the following:

- a) Secured more than 50% in all modules with overall 60% marks: Absorption in Grade II
- b) Secured more than 50% in all modules, but less than 60% overall marks: Absorption in Grade I
- c) Fails in one module: Extension of training by 6 months.

If the trainee passes the re-test with overall 60% marks, will be absorbed in Grade II; otherwise the trainee can be considered for absorption in Grade I based on recommendations of Division / HMA.

- d) Fails in two modules: Extension of training by 6 months.

If the trainee passes both the modules in the re-test with overall 60% marks, will be absorbed in Grade II; otherwise, his training will be terminated. The trainee can also be considered for absorption in Grade – I, if the trainee passes 1 of the 2 modules with overall 60% marks during the re-test, based on recommendations of Division / HMA.

e) Fails in three or more modules: Termination of training.

2.10.6 On their regular appointment to posts in Grade – II / Grade – I they will be on probation for a period of 12 months. All these trainees are required to sign an Agreement, along with a Surety, to serve the Company for a minimum period of five years from the date of successful completion of the training. They should also undertake to refund to the Company the entire expenditure incurred on their training, including the Recruitment expenses, Stipend, Training expenses, travel fare & all other Allowances paid to them, subject to a maximum of Rs.5,00,000/- (Rupees Five Lakhs only), in case of their failure to serve the Company for five years as undertaken by them (Annexure-XIX).

2.11 **Project Management Professional (PMP) Certification**

Reference: PC No. 711 dated 14.07.2016

2.11.1 Scope:

- a) HAL has several ongoing prestigious programmes on hand and many new Projects are in the pipeline. Executives who are professionally competent to handle such projects effectively are needed by the Company.
- b) Project Management has emerged as a professional Discipline. It is a discipline of organizing and managing Resources in such a way that these resources deliver all the work required to complete a Project within defined scope, quality, time and cost constraints. A Project is an endeavor undertaken to create a unique product or service that brings about beneficial change or value addition.

2.11.2 Objective

In order to meet the demands of the growing number of projects in the Company and the need to manage them in a structured & professional manner, the Company has initiated a process for creating in-house cadre of Project Management Professionals. Project Management Certification has significant value for both the individual & the Organization.

2.11.3 Eligibility for Training & Certification

- a) Executives in Grade III & above are eligible for the Certification Programme;
- b) Applicants should possess Bachelors Degree or its equivalent from Universities/ Institutes in any Discipline/ Branch. Diploma Holders in Engineering are also eligible;
- c) Bachelor's Degree holders should have minimum 3 years of post-qualification work experience in HAL in the Executive Cadre including 4500 hours in managing projects. For Diploma holders, it will be 5 years of experience including 7500 hours in managing Projects;
- d) Executives in all the disciplines are eligible to apply as long as they fulfill the PMI criteria of Qualification and Experience;
- e) The maximum age would be 50 years as on 30th June of the year of admission;
- f) The Officer's PAR marks for the last 3 years should be at least two 85s & one 80. He should possess the potential to rise high in the Organizational Hierarchy

2.11.4 Procedure for Training & Certification

- a) Eligible Executives who fulfill the criteria at para-2.11.3 will be nominated by the Division;
- b) Executives have to undergo 35 hours (5/6 days) of training conducted by HMA or by an Organisation/ Institute in collaboration with HMA.
- c) The training would be based on the Project Management Body of Knowledge (PMBOK) of Project Management Institute (PMI)-USA;
- d) On successful completion of the 35 hours of training, the Executive would submit an Online Application (www.pmi.org) for taking the PMP Certification examination;
- e) On approval of the application submitted by the Executive by PMI, he is required to intimate the Divisional HR regarding the submission of the application;

- f) The Executives would be required to make payment of PMP Exam Fee of USD 555 or as revised in future, through the online mode of payment. The Executives can pay the fee and appear for the exam within 1 year of approval of the application by PMI. Presently, the PMP Examination is conducted at Centre's of Prometric at Ahmedabad, Allahabad, Hyderabad, Bangalore, Chennai, Mumbai, Kolkata, Gurgaon & Trivandrum;
- g) The Executives will be required to appear for the exam at the Centre nearest to the Division/Offices. The same will be considered as Official duty and TA/DA would be reimbursed as per rules;
- h) The Expenditure incurred by the Officer for the PMP Exam Fee, along with any necessary online (Credit Card/Bank Transfer) charges shall be reimbursed by the division irrespective of the exam result, upon submission of proof of payment and Exam result;
- i) Maximum of two attempts will be allowed for passing the examination. For Executives who could not clear the examination in the first attempt, a second attempt will be permitted, on approval by the Head of the Division. The re-exam fee of USD 375 will be reimbursed on similar lines as the first exam. The second attempt should be taken within the 1-year time frame from the date of initial approval of the application by PMI;
- j) The above indicated rates of fee are for PMI non-members only. In case, any Executive has obtained membership on his own, only the relevant PMP examination fee shall be reimbursed (USD 405 for the first attempt and USD 275 for the second attempt). PMI Membership charges shall not be reimbursed by HAL;
- k) The certification once attained, is valid for a period of 3 years during which a PMP has to earn Professional Development Units (PDU) through training/learning and working in the areas of Project Management. The Certification is renewed after a period of 3 years if the PMP has earned 60 PDUs in the 3 year period (extendable by 1 additional year). The PMP certifications can be renewed within 4 years from the date of receiving the certification. The PMP Certification renewal fee of USD 150 or as revised in future shall also be reimbursed to Executives who fulfill the renewal criteria (For PDU Guidelines, please refer www.pmi.org).

2.11.5 Progress & Review

- a) After Completion of PMP certification, the HR department will arrange an interaction of the candidate with the Divisional Head/ COM to assess the suitability of the candidate and assign a suitable Project to him;
- b) A Standing Committee shall be formed consisting of Head of HMA, GM (Plg and Projects), CO, the respective Head of the Division and senior Faculty, HMA, to monitor and review the progress of the PMP Certified candidates. The report of the Standing Committee shall be put up to the Director's Meeting on six-monthly basis;
- c) The Policy has come into effect from the year 2016-17 for fresh Certification. Cases of renewal from the year 2015-16 or earlier will be considered on a case to case basis, subject to approval by the Divisional Head.

2.12 **Executive Post Graduate Diploma in Aviation Management**

2.12.1 Introduction

The Programme was introduced from the year 2018 onwards, with a batch comprising of Officers sponsored by HAL as well as External Participants.

2.12.2 External Candidates need to apply against HAL Advertisements.

2.12.2.1 Highlights of the Programme

- a) Full Time, 15 months Programme.
- b) Comprehensive Coverage of Aerospace field and Aviation Management with well-crafted Case Studies with deep insights gained by HAL over 78 years.
- c) **Aviation Industry Exposure Module:** Executives will be given Aviation Industry exposure at various Divisions of HAL (R & D Centres, Production Divisions, Flight Hangars and MRO Divisions related to Helicopter, Aircraft, Engines and Accessories).
- d) **International Immersion Module:** Visit to top Aviation Companies abroad.

2.12.2.2 Eligibility

- a) Bachelor's Degree (minimum 3 years) in Science / Computer Science / Computer Applications / Engineering.
- b) Minimum 50% marks in qualifying Exam for general category and 45% marks for reserved category.
- c) Minimum 5 years Professional experience (After Graduation).

2.12.3 Selection Criteria for HAL Officers

- a) Executives who have not undergone Post Graduate Diploma or Degree Programmes sponsored by HAL;
- b) Minimum of 5 Years' experience in HAL;
- c) Average PAR Marks of 85 or more for last two years;
- d) Good Verbal and Written Communication skills;
- e) Upper Age limit of 45 years;
- f) Has exhibited problem solving and project management skills.

Note:

HAL Divisions are required to send the nominations of Officers to HMA, who meet the criteria mentioned above. The nominated Officers will be interviewed by the Committee for Selection.

2.12.4 Modules of the Programme

The programme will be held in six modules for a period of 15 months. Outline of programme syllabus is indicated at Annexure-XX.

2.12.5 Guidelines for the Programme

- a) Nominated Officers from HAL have to sign a Bond. The Bond amount is to be arrived at by considering the training expenditure and Pay & Allowances as per the guidelines issued by Corporate Office. Period of the Bond for the programme which is of duration of more than one year is 5 years. Divisional HR is required to ensure that the Bond is executed before the participant reports to

HMA. Divisional HR is also required to obtain the actual training expenditure from HMA at the time of settlement of Bond;

- b) Canteen facilities and payment of Canteen Allowance / issue of Sodexo meal vouchers would be regulated as per the TA/DA Rules of the Company;
- c) Participants are required to have a minimum of 80% attendance in each of the modules. Leave may be availed only on prior approval from Head of HMA and leave would be deducted from their CL/VL.

2.13 **Post Graduate Diploma in Management (PGDM)**

2.13.1 It is a 2 years Full Time Residential Programme with specialisations in Aviation Management as well as Production Management. Candidates need to apply against HAL Advertisements.

2.13.2 Programme Features:

- a) Comprehensive Coverage of Aerospace & Aviation Management with well-crafted Case Studies suited to Indian context.
- b) Immersive learning experience with experienced Faculty, practicing Professionals and Industry Experts.
- c) Industry visits to manufacturing facilities, Hangars, Test Centres and Design Houses.

2.13.3 Eligibility:

- a) A Bachelor's Degree in Science / Engineering / Computer Science from any reputed University / Institute.
- b) Minimum 50% marks in the qualifying Exam for general category and 45% marks for reserved category.
- c) Candidates to appear for HMA Aptitude Test.
- d) Valid Aptitude Test Scores, if any, can be indicated.
- e) Candidates appearing in the final exam of Degree are also eligible to apply.

2.14 **Certification Programme in Aerospace Management**

2.14.1 It is conducted in collaboration with IIM, Lucknow.

2.14.2 Highlights of the Programme:

- a) Full Time, 3 months covering Aerospace Technology and Management giving strong foundation of Aerospace Design, Manufacturing, Testing, Certification, Operations, Maintenance, Air Traffic Management, Supply Chain Management etc.
- b) Case Studies giving exposure to real life scenarios in Aerospace Industry.
- c) **Aerospace Industry Exposure module:** The participants would be given Aerospace Industry exposure at various Divisions of HAL (R & D Centres, Production Divisions, Flight Hangars and MRO Divisions related to Helicopter, Aircraft, Engines and Accessories).
- d) A two-week module at IIM Lucknow.

2.14.3 Eligibility:

Engineering Graduates or Equivalent / Engineering Students having given the final exam / Professionals with Engineering Degree.

3 **GOVERNING COUNCIL (LEARNING & DEVELOPMENT)**

3.1 In order to bring about greater involvement of the line management in the training provided at HAL Management Academy, a Governing Council was constituted in 1985. The Council was formed with the objective of providing training policy and guidelines for the Company as a whole. Two Directors, one member representing each Complex & Corporate Office at the level of General Manager / Executive Director, Head of HR of Corporate Office and the Head of HMA as Member Secretary constitute the Council. The Governing Council is reconstituted once every 2 years.

3.2 The following are the functions of the Council:

- a) Lay down training policy and guidelines not only for HAL Management Academy, but also for the Company as a whole;

- b) Help in identifying areas where deficiencies exist and which could be bridged by training;
- c) Review effectiveness of the training programmes conducted at the HAL Management Academy & the Divisional Training Centers and suggest improvements thereof;
- d) Vet annual training Plans of the HAL Management Academy and the Divisions;
- e) Review resources / facilities available at the HAL Management Academy/Divisional Training Centers and recommend improvements / augmentation thereof;
- f) Identify areas for competence build-up in relation to future projects / programmes of manufacture, design & development thereby help in formulating plans for selection and training of the company personnel abroad ; and
- g) Examine and recommend for approval, the Company's training budget inclusive of that for the HAL Management Academy;
- h) The HAL Management Academy has also been given overseeing responsibility for monitoring the Divisional Training activities and reporting to the General Managers on the same.

4 TECHNICAL TRAINING INSTITUTES / CENTRES

Technical Training Institutes/Centres are established at various locations to cater to the specific training needs of Workmen and Junior Executives.

4.1 TTI, Bangalore

Technical Training Institute (TTI) was established during 1950 with the objective to meet the skilled man power requirements of HAL. Later, to provide inputs in the current management practices/techniques; Employee Development programmes and Supervisory Development programmes were started for workmen and Junior Executives. The Institute caters to the requirements of all the Divisions at Bangalore. The Major activities are:

- a) Apprenticeship Training:
- i) Engagement of Ex-ITI (Trade) Apprentices and Registration of their contract with the Regional Directorate of Apprenticeship Training, Hyderabad;
 - ii) Engagement of Diploma Apprentices and Graduate Engineering Apprentices and registration of their contract with the Board of Apprenticeship Training, Chennai;
 - iii) Engagement of 10th Std. passed students for 3 years full term Apprenticeship Training Scheme under CSR initiative;
 - iv) Conducting Trade Theory Classes and Intensive practical training for Trade Apprentices to prepare them for All India Trade Test (AITT);
 - v) Monitoring of on-the job Training at Divisions;
 - vi) Conducting All India Trade Test & Evaluation and preparing the results.
- b) Training and Development Programmes for Workmen and Junior Officers:
- i) Organising Induction programmes for newly recruited workmen;
 - ii) Identifying training needs through interaction with Manufacturing and HR Heads at Bangalore based Divisions and designing the Training & Development calendar based on the identified training needs;
 - iii) Planning and co-ordinating Training & Development programmes for Workmen & Junior Officers of Bangalore based Divisions;
 - iv) Planning & organising skill sharpening / tailor made programmes for Field Service Representatives on Repair Overhaul of Airframe, Power Plant, Electrical and Avionics Systems, etc;
 - v) Upgrading the Training facilities to provide hands-on training for skill development.

c) Types of Training programmes offered:

The training and development programmes are designed based on extensive interactions with the Heads of Manufacturing Shops and HR Departments. About 100 programmes are planned every year under the following 8 categories:

- i) Aircraft Systems Series
- ii) Aircraft Manufacturing Series
- iii) Aircraft Repair & Overhaul Series
- iv) Quality Series
- v) Computer Series
- vi) Personality Series
- vii) Awareness Series
- viii) Vigilance Awareness Series

4.2 **Divisional Technical Training Centres outside Bangalore**

4.2.1 Separate Divisional Training Centres have been established at Nasik, Koraput, Hyderabad, Kanpur, Lucknow and Korwa Divisions. These Training Centers have well established facilities and necessary infrastructure to conduct various Programmes. The Training Centres have the following two wings:

- a) Apprentice Training Wing
- b) Management Training Wing

4.2.2 The Apprentice Training Wing caters to the statutory training of Apprentices under the Apprentices Act 1961 as amended from time to time. The Management Training Wing is responsible for training of serving personnel in Grade-II and below.

4.2.3 The activities of the Divisional Training Centers are:

- a) Providing assistance on training matters;
- b) Formulation of training plans and Training Budget;

- c) Conducting training programmes for Junior Executives (Gr - I & II) and Workmen in functional areas of Management such as Management Development Programmes;
- d) Processing nominations to training programmes
- e) Activities relating to training of Management Trainees;
- f) Customer Training;
- g) Apprentices training including training of Diploma Holders and Graduates under the Apprentices Act 1961;
- h) Coordination with internal and external agencies on training matters;
- i) Practical Training / Project work for Students;
- j) Any Special Tasks assigned by the Divisional Management from time to time.

4.2.4

The Training Programmes conducted by the Training Centers are classified as:

- a) Core Programmes which are those that cut across functional boundaries and are "Priority" which areas for the Divisional Training Centres to concentrate on. These are:
 - i) Advanced Management;
 - ii) General Management development;
 - iii) Leadership and Motivation;
 - iv) Shop Floor Management, etc.
- b) Functional Programmes which are those in which participants from specific functional 4 areas only participate. The following are functional programmes:
 - i) Production Management;
 - ii) Quality Control;
 - iii) Computer Appreciation;
 - iv) Industrial Relations and Labour Laws;

- v) Finance (for non-finance personnel)
- vi) Finance (for Finance Personnel)
- vii) Aircraft Materials and Processes;
- viii) Stores and Purchase Procedure;
- ix) Secretarial Functions;
- x) Productivity;
- xi) Basic Management (for Diploma Holders under Assistant Supervisors Training Scheme), etc.

5 EXTERNAL TRAINING PROGRAMMES

Reference:
HAL/P&A/42/(14)/85 dated 26.09.1985

The Company also nominates its Officers & Workmen on a selective basis for external training programmes, seminars and conferences. Apart from deputing Officers to Advanced Management Programmes of the HAL Management Academy, Senior and Top Executives are also sent to the Advanced Management and Top Management Courses conducted by various Institutions of repute.

5.1 General Guidelines for deputing Personnel at various levels for Training within the country

References:
1. HAL/HR/42(26)/12 dated 19.07.2012
2. DOP 2018 dated 27.08.2018

5.1.1 Financial powers of Directors/CEOs and Executive Directors/General Managers for deputing personnel for Training Programmes organised by recognised Institutions within the Country are as under:

- a) CEOs /Functional Directors could depute personnel up to and including Officers in:
 - i) Grade-X, if the Fee is Rs. 50,000/- or less and the duration is less than 10 days;
 - ii) Grade-VIII, if the Fee is Rs. 50,000/- or less and the duration is less than 3 weeks;

- iii) Grade-VI & below, if the Fee is Rs. 50,000/- or less and the duration is less than 3 months.
- b) Executive Directors/ General Managers heading the Divisions could depute personnel up to and including Officers in:
 - i) Grade-VII, if the Fee is Rs. 35,0000/- or less and the duration is less than 10 days;
 - ii) Grade-V, if the Fee is Rs. 35,000/- or less and the duration is less than 3 weeks;
 - iii) Grade-III & below, if the Fee is Rs. 35,000/- or less and the duration is less than 3 months.

References:

1. HAL/HR/42(26)/2016 dated 24.08.2017
2. DOP 2018 dated 27.08.2018

- c) The guidelines to be followed while forwarding the proposals of nominations for Training Programmes where the Fee involved is more than Rs.50,000/- to Corporate Office for approval of CMD are as follows:
 - i) The proposals should be sent to Corporate Office well in advance i.e minimum 15 days in advance;
 - ii) Divisions should forward the proposals through the Complex Offices only;
 - iii) The availability of budgetary provisions must be clearly be indicated;
 - iv) The Bio-data and the last three years PAR marks of the employee must be enclosed with the proposal;
 - v) Disciplinary cases pending/contemplated against the employee, if any, should be mentioned in the proposal;
 - vi) The proposal should clearly spell out whether the nominated employee is under any Bond obligation or not;
 - vii) The duration of Bond to be executed, wherever applicable, should be indicated;
 - viii) Brochure of the Program, if available, needs be enclosed with the proposal;

- ix) The proposal should mention about the utility of the programme to the Organisation & the individual.

Reference:
HAL/HR/42(26)/12 dated 17.10.2012

5.1.2 The age limit for nomination for Training Programmes is indicated as follows:

- a) 55 years for nomination of Employees for external Training Programmes in the Country (i.e. for all Training Programmes organized outside HAL;
- b) 55 years plus and up to 58 years for various Development Programmes to be held at the HAL Management Academy, on case to case basis, for nomination by the GMs/ CEOs;
- c) No upper age limit is prescribed for nomination to other Training Programmes at HAL Management Academy/ Technical Training Centres within HAL.

Reference:
HAL/HR/42(26)/12 dated 19.07.2012

5.1.3 Complexes/Divisions/Offices which approve proposals for deputation of employees for training programmes should furnish a quarterly report to Head of HR, Corporate Office, in the Format at Annexure XXI. HR Heads of the Divisions/Complexes are responsible to furnish the reports.

Reference:
HAL/MSD/200/78/943/911 dated 10/11.08.1978

5.1.4 Notwithstanding what is stated above, the following points are to be borne in mind while nominating personnel for training programmes and in exercising the delegation of powers spelt out above:

- a) Training costs are covered by the approved training budget;
- b) Utmost economy is exercised in nominating personnel to external training programmes;

- c) The relevance of the training to the specific jobs being done by the prospective participants be ensured before they are nominated to such programmes.
- d) Where the duration of the training programmes exceed 3 months, the practice of obtaining clearance from Corporate Office will continue.

5.1.5 Air Travel by Senior Executives to attend Training Programmes

- a) Officers in Grade VII and above can travel by Air to attend Training programmes, both at HMA or at other outstations;
- b) Officers in Grade VI can be allowed to travel by Air for attending Training Programmes, both at HMA or at other Outstations, with the approval of the concerned Director/CEO, like in the case of Air Travel on Tour;
- c) To the extent possible, Officers should travel by low Cost Carriers in available Sectors. Even in other carriers, facilities like Apex Fares should be availed by booking in advance, to reduce the cost;
- d) Officers in Grade V & below would continue to travel by Rail / Road for attending Training Programmes. However, there will be no objection for their travel by low cost Carriers, availing Apex Fares etc., on their own, subject to the condition that their Claims will be settled with reference to their entitlement by Rail only.

5.2 Training Abroad

References:

1. PC No. 213 dated 20.07.1972
2. PC No. 273 dated 24.06.1974
3. PC No. 579 dated 16.04.1988
4. PC No. 594 dated 31.07.1989

5.2.1 Prior approval of CMD is required for nominating / sponsoring employees for Training Programmes / Courses/ Scholarships abroad.

5.2.2 Company employees are deputed abroad for training at the works of HAL's collaborators and at educational & other institutions. Further, requests received from Government of India and other organizations such as National Productivity Council etc., for sponsoring employees for training abroad under foreign aid programmes / scholarships are considered

on company wide basis and selections made from among employees satisfying the stipulated conditions. The Terms & Conditions under which company employees may be sent abroad for such training courses are as under:

- a) If the training authorities do not meet the expenditure connected with the internal and international travel, such expenditure is to be borne by the company. In case the training authorities meet the expenditure only partially, the remaining part of the expenditure is to be borne by the Company.
- b) The period of training abroad as also the time taken for the journey is to be treated as duty for all purposes, except that after the first six months of training the employee deputed for training will not be entitled to Dearness Allowance. House Rent Allowance will, however, be admissible for the entire period of deputation provided the family of the employee is left back in India and prior to leaving India the individual was in receipt of House Rent Allowance. If the employee has been allotted a quarter by the Company, he may retain it till his return from training, provided it is required for occupation of his family during his training period. The facility will not be admissible where the employee had drawn family TA in connection with his training.
- c) If the training authorities do not provide the trainee with any daily allowance or pocket money or scholarship, the trainee will be entitled to daily allowance at as per the extant Rules of the Company.
- d) Employees deputed for short trips abroad for training are insured to provide medical treatment of injuries of diseases contracted during their visit abroad.

5.2.3 Seminars, Courses and Conference abroad

<p>Reference: HAL/PA/113/2159 dated 23.03.1990</p>
--

Seminars, courses and conferences abroad organised by the Department of Public Enterprises as well as Organisations of repute are patronized depending on the benefits likely to be derived from them.

Note: When senior officers are deputed for training abroad, they must make an attempt to widen their knowledge well outside what they have been sent for.

Example: Line methods of production, efficiency on use of machines and updating them etc.

Reference: HAL/PA/014/ dated 09.01.2012
--

5.2.4 Divisions while nominating workmen for foreign deputation/training should objectively conduct a selection process by a duly constituted Committee, based on the following:

- a) Relevance of the job to be carried out/ training;
- b) Qualification & experience possessed;
- c) Service rendered and remaining;
- d) Performance and conduct; and
- e) Potential and future benefits likely to flow to the Organisation.

5.2.5 Scholarship / Training Courses offered by Foreign Governments / Agencies

In cases of scholarships / training courses abroad offered by Foreign Governments / Agencies, CEO/ FD may forward proposals keeping in view the usefulness of the programmes offered by the Agencies to Corporate Office for consideration. In the event of selection of officers by the Agency concerned, they may be permitted to avail study leave as admissible under the rules for such scholarships / training courses abroad.

5.2.6 Training at the Works of the Company's Collaborators

To enable the employees and Officers to equip themselves with the latest technology needed for manufacture of the products, they are sent for training at the firms with whom HAL has entered into collaboration agreements.

5.3 **Guidelines for deputation of Employees for TOT Programmes/ CO-development Programmes within India as well as Abroad**

Reference:
HAL/HR/42(26)/14 dated 09.09.2014

5.3.1 HAL is engaged in various ToT Programmes / Co-Development programmes with different International Companies e.g. Turbomeca, BAE Systems, IAI etc. Teams of Officers & Workmen are being deputed to these Companies for Training/ Co-development as per the Contractual Terms & Conditions.

5.3.2 Further, as a part of Facility up gradation, HAL has been procuring advanced machinery and teams are being deputed to the Vendor Companies (Inland/Abroad) for training on the operational as well as maintenance aspects of the new machines being procured.

5.3.3 The following guidelines are to be followed for such deputations:

- a) Senior most Officer will be the team leader of the group being deputed. If the team is having only workmen, the senior most workman will be team leader.
- b) Responsibility/ role of each member should be clearly defined at the proposal stage.
- c) The responsibility/ role of each team member should be brought in the deputation proposal being put up for the Competent Authority's approval.

5.4 **Guidelines on Selection Committee – Specialised Training Programmes**

Reference:
HAL/HR/42(26)/14 dated 10.10.2014

5.4.1 Officers & Workmen are being deputed to different Organisations (Inland/ Abroad) for specialized Training which may be part of TOT/ Co-Development Programmes or acquiring know- how on the operational as well as maintenance aspects of the new Machines being procured.

5.4.2 The selection process in this regard ought to be transparent, fair and above all, should be based on merit meeting the

organizational requirements optimally. With this intention in view, the Selection Committees/ Boards should be constituted in such a manner as to have at least two experts from outside also, besides regular members, in order to eliminate biased evaluation.

5.5 Execution of Agreement

Reference:
HAL/HR/42(26)/2016 dated 18.07.2017

5.5.1 Employees sponsored for Training and Higher Studies within India or Abroad as well as those granted Study Leave are required to execute Bonds/ Agreements (Please refer Para No.14 under Chapter IV for the details).

6 SUBMISSION OF PROPOSALS FOR TRAINING WITHIN INDIA / ABROAD

6.1 Proposals for deputation of employees for training within India/ abroad should be sent to Corporate Office in the proforma at Annexure XXII.

7 SUBMISSION OF REPORTS ON COMPLETION OF DEPUTATION OF EMPLOYEES TO FOREIGN COUNTRIES

References:
1. HAL/P&A/28(12)/97 dated 07.02.1997
2. HAL/CO/VIG/412 dated 22.09.1999
3. HAL/P&A/22(12)/07 dated 30.10.2007
4. HAL/HR/42(26)/2014 dated 12.09.2014

7.1 Employees who are being deputed to Foreign Countries on Business Visits, Training, etc should submit a Report immediately on their return to the Headquarters, in the Format at Annexure XXIII;

7.2 The Report will have the following aspects to be covered by the employees on completion of deputation to a foreign Country:

- a) Commercial aspects: Most of the employees are deputed to foreign countries connected with commercial activities of the Company. The concerned employees on completion of foreign assignment should file a report giving his assessment/ recommendations with respect to the commercial viability of the project for which he had been deputed. The recommendations /assessment can

be negative/positive, which will help the Company to take suitable steps for future handling of such projects/assignments;

- b) Training aspects: In some cases, employees are also deputed to visit foreign countries in connection with training/ seminars etc. On completion of the foreign assignments, employees should give out the type of training, contents of the programme and whether these contents can be utilised by our training centres including HMA. This will help the Company to create data bank and similar Training can be conducted by our own personnel thus benefitting the Company in the longer run. The employee should at the end give out his assessment/recommendations whether the contents were adequate or not;
- c) Vigilance angle: From the vigilance angle, the employee should very clearly bring out whether any undue hospitality was shown by the host country/company which may include overdoing of hospitality aspects or showing overtures to win them over with the intention of getting their products introduced in HAL;
- d) Security angle: It is known that when highly trained personnel are deputed to a Foreign Country for training/commercial activity etc, foreign intelligence agencies through their discreet methods try to cultivate the employees. The method employed by foreign agencies is so discreet and varied that our employees may not even know that he is under cultivation by them. But if the employees are vigilant, it is possible to deduce that foreign intelligence agencies may, through the Host Company / Country, try to cultivate, which the employee without fear should bring out in his report so that corrective /preventive security measures can be taken by the Management.

7.3 The report will be covered in four parts, each part prepared separately. The report will be classified as Confidential and should be handled initially by the HOD only. The HOD must offer his comments on relevant aspects and put up to the Competent Authority, as applicable.

7.4 It will be ensured that prior to the departure of the employee on deputation, he will be properly briefed by the Department deputing on the above report so that more fruitful and comprehensive inputs can be given by the employee on completion of the assignment to the foreign countries.

- 7.5 The report has to be filed by the concerned employee within 3 days of his joining after deputation and within 10 days together with comments/ recommendations.
- 7.6 It is extremely important to note that by filing the report objectively and comprehensively the employee is only helping the company and himself.
- 7.7 The reports on foreign deputation by employees on completion of business visits / training etc, has to be submitted as follows:

Employees at the level of	Report to be submitted to
Director/CEO	CMD
Chief Manager to Executive Director	Concerned Director/CEO
Senior Manager & below	Concerned Manager/ Director General Executive

- 7.8 In case employees notice any aspect related to Security & Vigilance angles in behaviour of the personnel whom they meet abroad or in the interactions with them, the same would be intimated by the employees to the Vigilance Department. Accordingly, copies of the Reports wherein employees furnish details under Vigilance & Security aspects as per Paras - 11 & 12 of the prescribed Format will be forwarded to the Chief Vigilance Officer, Corporate Office also.
- 7.9 If it any stage it is found that Government instructions on the subject are at variance with the aforesaid instructions, Government instructions on the subject would prevail.

8 SHARING OF EXPERIENCE OF OFFICERS NOMINATED FOR TRAINING PROGRAMMES

<p>Reference: HAL/HR/42(26)/15 dated 07.06.2016</p>
--

- 8.1 HAL has been nominating Officers for various training programmes to enhance the Technical as well as Managerial Skills at reputed Institutions. Officers are being sponsored to Training Programmes for the growth of the individual as well as the organization.
- 8.2 The knowledge gained by the Officers need to be shared with other employees of the Division/Office. The knowledge gained also needs to be utilized.

- 8.3 Since all the Officers cannot be sponsored for training programmes those who have been given the opportunity to undergo such training programmes need to share the knowledge and experience gained with other employees. This will enable other employees also to understand the latest developments/ trends in their respective technical as well as managerial areas.
- 8.4 Divisions / Offices are required to organize such knowledge sharing exercises at regular intervals. Officers who have been sponsored for training programmes (both Technical & Managerial) need to be advised to share their experience as well as the valuable knowledge, with other employees of their respective Divisions.

9 SKILL DEVELOPMENT OF PERSONNEL IN THE NON-EXECUTIVE CADRE (WORKMEN)

Reference: PC No. 712 dated 29.07.2016

- 9.1 With the advancement of Technologies & Processes in Aircraft/ Aerospace Manufacturing & Assembly Techniques, there is a need for Up-Skilling & Re-Skilling the employees in new Technologies & Processes to make them competent to perform the Job Roles to the required standards thereby improving the competitiveness and performance of the Company. This calls for lifelong learning and continuous Skill Development Measures to meet the Skill requirements of the Company. It also involves skilling of the employees in different Job Roles to make them perform Multi – Skilling Jobs.
- 9.2 Skill Development is a continuous process and aims at
- a) enhancing the individual's Skills, Knowledge & Understanding to ensure ability to adapt to changing Technologies and Market Demands;
 - b) introducing Practices for improving Productivity & Quality for the growth of the Company; and
 - c) strengthening the Competitiveness of the Company.
- 9.3 **Objectives:**
- a) To develop a large base of quality conscious skilled workforce relevant to the current and emerging needs of the Company;

- b) To establish a flexible delivery mechanism for Skill Development that responds to the characteristics of wide ranges of skills needed by the Company;
- c) To promote consistent commitment of all Divisions of HAL and their Executives to own and actively support Skill Development Initiatives and Systems.

9.4 Scope:

The Policy is applicable to all Direct & Indirect Workmen in the Technical & Non- Technical Disciplines/ Departments of the Company.

9.5 Guidelines:

9.5.1 The categorization of Skills, similar Skills grouped to Skill Cluster (SC) and mapping of Trades against Skill Clusters for both Technical & Non- Technical Disciplines, is given at Annexure- XXIV-A;

9.5.2 The Skill Development Management System (SDMS) is the Framework for implementation of the Skill Development Policy which will cover the Process of Skill Development, Job Roles & Functional Standards, Skill Mapping, Skill Development Quality Assurance System & the Skill Development Portal – “Kaushal Vikas”;

9.5.3 A centralized Syllabus & Curriculum for Job Roles is issued from Skill Development Unit, Corporate Office (in consultation with the respective Experts from the Divisions and outside), which will be the basis for certifying Workmen for each type of Job Role & Skill Cluster. This centralized Syllabus & Curriculum will cover the following aspects:

- a) Familiarization & Orientation including awareness about the Product & its Safety Requirements, Company & its environment, Behavioral aspects, Communication, Computer, Safety, Lean, Quality etc;
- b) Theoretical inputs, Demonstration & Practical Training for the Trade ;
- c) Shop Floor familiarization & Basic Training before commencement of On Job Training;
- d) On Job Training based on Standard of Preparation (SOP) with independent assessment;
- e) Specialized Skill Training and Certification;

- f) Project Work and;
 - g) Independent Module wise evaluation and Final evaluation.
- 9.5.4 The systems and procedures for Skill Development is managed by the Head of Skill Development Unit in every Division;
- 9.5.5 Divisions will establish necessary infrastructure for Training such as Workshops, Laboratories & Training Aids and ensure availability of modern methods of training such as Computer Based Training & Simulators in a phased manner. The same may be completed within two years of issue of this Policy;
- 9.5.6 A centralized system will be established for Survey, Auditing and improving the infrastructure, Training & Certification process including Syllabus, Curriculum and courseware for Skill Development. The Team for Survey will be nominated by Skill Development Unit, Corporate Office. The monitoring of findings will be done by the Head of Skill Development Unit & implementation will be done by the TTI Heads & HR Heads of the respective Divisions;
- 9.5.7 Wherever necessary, Courses can be in local language to enhance the effectiveness of Training;
- 9.5.8 All Workmen Trainees will be inducted into the respective Divisions and will be absorbed on the recommendation of the TTIs, after completing the requirements for the Certification. The Trainees will be under the administrative control of TTI till the successful completion of their Training;
- 9.5.9 Every Training Module will be reviewed at least once in 3 years by a cross-Divisional Team set up by Skill Development Unit, Corporate Office, to ensure continuous updating. Feedback on Training Modules, Faculty and Facilities will be obtained by TTI from the Trainees at the end of each Module of Training;
- 9.5.10 The ratio of input hours for Training on Soft Skills and Trade Skill Training would in the ratio of 1:4 for ITI Technicians and 3:7 for Diploma Holders.
- 9.5.11 For Technical Direct & Indirect employees, each Course shall include topics like Understanding Safety Standards, Drawing Reading, Process Layout, Producing Finished Parts in Single Setting, inspection & Testing, Lean, T-S, TPM, Cellular Manufacturing Layout, Single Minute Exchange of Dies (SMED), etc. For Non- Technical Employees, each Course

shall include topics on Best Practices prevailing in similar Industries & IT related Systems;

- 9.5.12 Keeping in view the requirement in a particular Discipline, highly skilled & motivated Workmen of Divisions may be utilized as 'Mentors' for imparting practical Training to employees;
- 9.5.13 The Skill Training Modules for Technical & Non-Technical Disciplines like 'Nipun' & 'Praveen' for new inductees are enclosed at Annexure- XXIV-B.
- 9.5.14 A Process Approach based Skill Development Management System (SDMS) is enclosed at Annexure- XXIV-C. The same is to be adopted as a framework for Skill Training Processes to fulfill the objectives of the Policy.
- 9.5.15 Head of TTI will functionally report to Head of Skill Development Unit for implementing the Skill Development Policy & report the progress to Governing Council of HMA.
- 9.5.16 A Document titled Skill Development Quality Assurance System (SDQAS) as a part of SDMS, will be developed as a guiding document for Quality Assurance of Training process by Skill Development Unit, CO. Quality Assurance of the Skill Development Policy will be based on the following four key processes:
- a) Validation of Training Processes for ensuring that proper Infrastructure, proper Tools, Techniques, Methodology and Material as suggested in Curriculum/Standards are used for continuous Improvement (CI) which will be achieved through Deming Wheel – PDCA (Plan, Do, Check& Act);
 - b) Validation of Qualification for ensuring that the qualification reflects the workplace requirements and expressed form of Competencies with clear Assessment criteria with an Auditing Process;
 - c) Assessment of learners for ensuring that the Assessment is based on Standards and use of valid, objective & reliable assessment methods;
 - d) Where the Skill Training is outsourced, accreditation of Training provides & Training Institutions for ensuring that Training is delivered by competent & qualified trainers in well- resourced and managed Institutions.

- 9.6 Governance of Skill Development Initiatives**
- 9.6.1 The Governing Council of HMA is renamed as Governing Council (Learning and Development) with the additional Members. An eminent external member as expert in Skill Development will be included in the Governing council. Governing Council will have responsibilities for all aspects of managing the company's Learning and Skill Development Structures, Systems, Processes for both officers & workmen. Governing Council will be responsible for reviewing and updating the Skill Development Management System for ensuring its adequacy for meeting the Skill requirements of the Divisions and the Company.
- 9.6.2 A central Skill Development Portal will be created by Corporate IT Department networking all the TTIs, Divisions/Officers and Corporate Office. Skill Training data bank will be created, updated and maintained by Divisions through the portal. The management of Skill Training will be done by TTIs through the Portal.
- 9.6.3 Heads of TTI should be at the level of Gr-VI/VII, depending on the size of TTI & the number of Apprentices & Employees handled by them. Heads of TTIs will be the members of the respective Divisional Committee of Management.
- 9.6.4 Skill Development Unit, in coordination with TTI Heads & Divisional HR Heads will issue the Skill Development Management System (SDMS) document with required Templates for Skill Gap Mapping/Assessment & measurement of effectiveness of training after review by the Governing Council.
- 9.6.5 D (HR) will be the Competent Authority for approval and subsequent review and reissue of the SDMS document and changes in the Organization Structure, if necessary.
- 9.6.6 Appropriate Training will be imparted to the personnel involved in the implementation of Skill Development Management System for effective implementation.
- 9.6.7 A Committee will be formed for Skill Development Unit, Corporate Office for scrutinizing/reviewing the adequacy of the Syllabus & Curriculum. Skill Development Unit, Corporate Office will review the Audit Report on the effectiveness of this Policy and recommend necessary changes to the Governing Council, as necessary.

9.7 **Roles & Responsibilities**

9.7.1 The broad Roles and Responsibilities at Corporate level, Divisional level (Head/HR/ Head of the Division), TTI is enclosed as Annexure- XXIV-D.

9.8 **Responding to the Future**

9.8.1 Skill Development Unit, Corporate Office will promote excellence through focusing on developing high quality faculty, high quality programmes in current and emerging Technology Areas. All Heads of TTIs and Heads of HR will work together to ensure that Skill Development initiatives will strive to identify the future requirements and constantly respond techniques in the external environment, learn from them and experiment with the new approaches and structures.

9.9 **Outcomes of the Skill Development Policy**

The following outcomes are envisaged through implementation of the Skill Development Policy:

- a) Demand driven system guided by the skill requirement information & Human Resource Planning thereby reducing the skills mismatch;
- b) System to deliver Competencies in-line with the recognized Standards.
- c) Lifelong learning focus on pre-service (new inductees) & in-service training existing employees);
- d) Stress on Skill Development Planning & Monitoring;
- e) Promoting Excellence by use of Modern Training Technologies ;
- f) Skill Up-gradation of Trainers & their Quality Assurance;
- g) Relearning & Re-certification system would be introduced based on the Personal Development Plan of every individual, duly monitored & followed by adequate Training will ensure focus on continuous improvement & learning;
- h) The Skill Development processes and their impact will be reviewed in the Divisions every six months through a presentation by the Heads of TTIs to the Committee of Members (CoM).

9.10 **Policy Review**

9.10.1 The processes of Skill development operate in a highly dynamic environment. Hence a periodic review once in 2 years is required to maintain their alignment with the changes in the Company's needs;

9.10.2 The Competent Authority for review/amendments of the Policy will be Director (HR).

10 **TRAINING POLICY FOR DIRECTORS/CEOS OF HAL**

Reference: HAL/HR/42(26)/2016 dated 04.07.2016

10.1 **Objective and Eligibility**

10.1.1 This Policy aims at providing orientation & facilitating Training Programmes to be offered to members of the Board of Directors /CEOs of HAL. It aims at building leadership qualities and providing a platform to share the knowledge, skills and experience gained to and by the Directors

10.1.2 The Policy will be implemented by the HAL Management Academy, Bangalore, in co-ordination with the Company Secretary.

10.2 **Programme Coverage, Frequency & Duration**

10.2.1 **For new full time Board Members / CEOs:** The endeavour will be to provide training (within India) within three months of the appointment of the new Director/CEO for a minimum period of three days.

10.2.2 **For Independent Directors:** The endeavour will be to provide familiarization training within 3 months of the appointment by visit to one of the Complexes/Divisions of HAL, along with a HMA Faculty. The visit will be followed by training on Corporate Governance organized by the Department of Public Enterprises, IIMs or such other reputed Institutes.

10.2.3 **For existing Board Members/CEOs:** The endeavor will be to provide training (within India) for a minimum period of three days, once in two years, on issues considered contemporary for the efficient running / governance of the Organization. The Programme can be in batches also. Needs of the Individuals, requirements of the Company, aspects of synergy etc. would also kept in view.

10.2.4 For managing and directing the activities of a Navaratna Defence Organization, having many global collaborations, it is advisable for the full time Board Members/CEOs to get exposed to the global strategies, best practices and management techniques so as to steer the Company towards reaching & sustaining globally comparable levels of excellence in its various aspects. Therefore, all full time Board Members/CEOs would be given opportunity to attend foreign training programmes (of upto 2 weeks duration) at globally acknowledged Centres of learning located in reputed international Universities/Institutes, once in 2 to 3 years.

10.2.5 **Top Team Retreats:** This would be considered for all the Board Members/CEOs, once every two years, for 2 -3 days, with External Faculty. The Programme Modules could cover:

SI.	Programme Module
Core Areas	
I	Applicable Acts and Laws
II	Enterprise Risk Management
III	Sustainability Issues
IV	Corporate Governance & Ethics
V	Role of Directors in guiding various functions of the Company
VI	Industry update and changes in various Regulations And Laws
VII	Greater oversight and higher level of Financial and Accounting expertise
VIII	Changes in Economic Scenario of India vis-à-vis Global Trends
Other Areas	
I	Emotional Intelligence in Management and Leadership
II	Financial Reporting and Disclosure
III	Handling Difficult people and situations-Resolving Conflicts
IV	Strategic Planning and Thinking – turning the Vision into reality
V	Networking and representing the Organization
VI	Leadership Ability
VII	Yoga and Meditation

- 10.2.6 In order to let the Company benefit from the Investment in the training/ learning of Board Members/CEOs, endeavour has to be made to ensure that they are sent for training before they enter into the last year of stint as Board Member/CEO.
- 10.2.7 Deputation/ Nomination for the Training Programmes will be done in such a way that it does not impact the work.
- 10.2.8 In case the number of Board Members/CEOs to be trained is such that an exclusive Programme is not feasible, such Board Members/CEOs will be deputed to Training Programmes conducted by SCOPE or any other Training Partners.
- 10.3 **Framework**
- 10.3.1 Industry Experts and Experts from reputed Consulting Agencies/ Academia shall guide the Board Members/CEOs on Strategy, Business Plan, challenges before the Company, etc.
- 10.3.2 Company information shall be provided by Senior Executives of HAL.
- 10.4 **Partners of Training**
- 10.4.1 Reputed Consultants, Top ranked Institutes/ Institutions like IIMs/ SCOPE / ASCI/ IPE etc will be the Training Partners for the purpose of conducting such Programmes. HMA will co-ordinate with them.
- 10.5 **Budget**
- 10.5.1 All the expenditure incurred on Training Programmes for Board Members/CEOs with respect to Faculty Honorarium, Transport, Boarding & Lodging, Course Material, Hospitality, Venue etc will be borne by the concerned Office/ HMA.
- 10.6 **TA / DA**
- 10.6.1 Independent Directors will be eligible for TA/DA for attending the Training Programmes at par with the TA/DA admissible to full time Directors.
- 10.7 The Training Policy for Board Members/CEOs is effective from the Financial Year 2016-17 onwards.

CHAPTER IV
SPONSORSHIP FOR HIGHER STUDIES

SPONSORSHIP FOR HIGHER STUDIES

1 In order to progress and grow, Organizations today have to constantly learn and develop. Organizations worldwide continually work towards creating Workforce that is engaged and adept with new Skills and Technologies. One of the prominent ways to engage Employees and to keep the Workforce adroit is to stay connected to the Academia.

2 In the wake of changes that happen within the Company and outside, the Company faces the challenge of updating the skills of its manpower and enabling it to cope with the changes. Apart from Organizational / Business changes, re-orientation of Management techniques and skills poses challenges to Leaders in the present century. These changes demand a Learning & Development Strategy. Academic Institutions are constantly updated with the new trends and techniques that are essential to be deployed in the Industry.

3 SPONSORSHIP SCHEMES

3.1 The Institute - Industry connect forms an essential part of the Company's Learning & Development Strategy. In order to achieve the same and in order to develop a learning culture, Company employees are sponsored to different Post Graduate Courses / Programmes at various Institutes in Technical and Management Disciplines. The Company has Schemes for sponsoring employees for higher studies to different Institutions in India / Abroad.

3.2 The Sponsorship / Deputation could be under 2 modes:

- a) Employees securing admission for PG programmes in reputed Institutions on their own and requesting for Sponsorship by the Company;
- b) Company has entered into arrangements with select Institutions for sponsoring specified number of Officers for PG Programmes. Officers are shortlisted by inviting Applications, Companywide. Final Selection is conducted by the concerned Institute, from among the Officers shortlisted by the Company.

3.3 Under the Category at Para 3.2 (a) above, Employees securing admission for PG Programmes like M.Tech / MBA / PGDM in recognized Institutes like IITs / IIMs / NITs would be sponsored to undergo the Programme. Similar is the case with Sponsorship of Officers from the Design Discipline from the R & D Centres for M.S

(by Research)/ M.Sc (Engg.) (by Research) and Ph.D.Programme (through External Registration) at IISc-Bangalore and IITs Kharagpur, Kanpur, Madras, Delhi & Mumbai; as also for Sponsorship of Officers from Disciplines other than Design for MS (by Research), M.Sc (Engg.) by Research and Ph.D.Programme (through External Registration) at IISc-Bangalore / IIT Kharagpur, Kanpur, Madras, Delhi & Mumbai; and for Ph.D Programmes at IIMs / MDI Gurgaon/ IMI Delhi / XLRI Jamshedpur etc.

3.4 Under the Category at Para 3.2 (b) above, the Company had / have arrangements with Institutes like the IITs, IISc Bangalore, BITS Pilani; XIME, Bangalore; MDI, Gurgaon; IMI, New Delhi; IIM Bangalore; DIAT Pune; Cranfield University, UK etc, for selecting Officers by inviting Applications from interested employees. Sponsorship to some of these Institutes are not being made now. However, various Schemes are included in the Manual, for easy reference.

3.5 **Number of Sponsorships for PG / Ph.D Programmes**

3.5.1 The maximum number of Officers who can be sponsored for all the Institutes / Programmes together as at Para 3.2 above [excluding sponsorship for M.S (by Research)/ M.Sc (Engg.) (by Research) and Ph.D.Programme (through External Registration) from IISc-Bangalore and IITs Kharagpur, Kanpur, Madras, Delhi & Mumbai for Officers in the Design Discipline from the R & D Centers] within the Country or abroad, is 75.

3.5.2 The maximum number of Officers who can be sponsored for the M.S (by Research)/ M.Sc (Engg.) (by Research) and Ph.D.Programme (through External Registration) from IISc-Bangalore and IITs Kharagpur, Kanpur, Madras, Delhi & Mumbai (specifically for Officers in the Design Discipline from the R & D Centers) is 58, over a period of 10 years (Scheme notified in Oct 2013).

3.6 There is also a Scheme for sponsoring Workmen to acquire Degree in Engineering from BITS, Pilani under the Distance Education Scheme. The number of Sponsorships in a Year can be up to 20.

3.7 Specific Schemes / Policies for Sponsorship are elaborated in the following Paras.

4 **DEPUTATION TO POST GRADUATE COURSES / PROGRAMMES IN TECHNICAL AND MANAGEMENT DISCIPLINES – EMPLOYEES SEEKING SPONSORSHIPS**

Reference(s):

1. PC.No.580 dated 11.05.1988
2. HAL/P&A/42(14)-3/90 dated 17.10.1994
3. HAL/P&A/42(14)-3/PGC/97 dated 04.06.1997
4. HAL/P&A/42(14)-3/05 dated 06.04.2005
5. HAL/P&A/42(14)-3/05 dated 06.01.2006
6. HAL/P&A/42(14)-3/06 dated 12.04.2006

4.1 Company Employees securing admission on their own for 2 years for Post Graduate Courses Programmes in Technical and Management Disciplines in Institutions of repute in the Country such as IIMs, IITs, IISc, NITs, XLRI, TISS etc and seeking sponsorships are considered under this Scheme.

4.2 **Courses / Programmes for which Employees may be deputed / sponsored**

4.2.1 The following Institutes are presently recognized:

a) Technical Streams

- i) Indian Institutes of Technology (IITs);
- ii) Indian Statistical Institute, Kolkatta (M.Tech in Computer Science);
- iii) National Institute of Industrial Engineering (NITIE), Mumbai (Industrial Engineering);
- iv) Madras Institute of Technology, Chennai (M.E (Avionics));
- v) National Institutes of Technologies at Suratkal, Warrangal, Nagpur, Rourkela and Allahabad
- vi) IIMs (M.Tech in Computer Science)

b) Management Streams

- i) Indian Institutes of Management
- ii) Indian Institutes of Technology

iii) Tata Institute of Social Sciences, Mumbai

iv) Xavier Labour Research Institute, Jamshedpur

v) Xavier Institute of Management, Bhubaneswar

4.3 **Eligibility**

4.3.1 Employees who are within 45 years of age (relaxable by 5 years in case of SC/STs) (as on 1st July of the year of Selection) and have put in a minimum of 2 years of service (excluding the training period under the Company's Management / Design Trainees Training Scheme) will be eligible to apply for Company Sponsorship for such Post Graduate Courses / Programmes.

4.4 **Selection for Sponsorship**

4.4.1 Selection of Employees for Sponsorship will be processed by Corporate Office. For this purpose, cases of Employees who secure admission to various Post Graduate Courses/ Programmes and apply for sponsorship are to be referred to Corporate Office, giving all relevant information. Only such Employees who are considered suitable would be sponsored. The mere fact that an Employee has got admission to any of the above mentioned Institutes for Post Graduate Courses / Programmes will not entitle him / her for sponsorship by the Company.

4.5 **Payment of Salary / Allowances during the Period of Course / Programme**

4.5.1 The period of the Post Graduate Course / Programme including the journey time taken by the Employee for travel to and from the Institution concerned will be treated as duty for all purposes. In addition to normal Pay & Allowances as admissible from time to time, the Employee deputed for the Course/ Programme will be entitled to Outstation Allowance as per the Rules of the Company. The Employee concerned will also be reimbursed the expenditure incurred by him / her for payment of Admission Fee, Tuition Fee, Examination Fee and other Fees, if any, in connection with the Course/ Programme. If he/she is entitled to or has received any Stipend / Scholarship during the period of the Course/ Programme or has received any payment towards expenditure for travel from any External Agency, the payment due from the Company to him / her by way of Salary & Allowances will be reduced to that extent.

4.6 **Project Work**

4.6.1 If the Employee concerned is required to undertake Project Work in partial fulfillment of the Course / Programme, he/she shall undertake the same either in his/her parent Division or in one of the Divisions of the Company with the prior approval of the Competent Authority. The expenditure incurred by the Employee for purchase of Books, preparation of Thesis and related items will be reimbursed to him / her, subject to a maximum amount of Rs.5,000/- for the entire Course / Programme. The journey from the place where the Institution is located to the Division of the Company where he/she is attached for the Project Work and back will be treated as duty for the purpose of entitlement of travel fare. Outstation Allowance will be admissible only in cases where the Project Work is carried out at a Division other than the parent Division.

4.7 **Retention of Residential Accommodation**

4.7.1 If the Employee is in occupation of the Company's accommodation / quarters, he/she may be permitted to retain it till his/her return from training Course / Programme, provided it is required for the occupation of his/her family during the period of his/her absence from the duty station except where family TA is drawn by the employee. Where family TA is drawn, the retention of Company's accommodation/ quarters should not be authorised.

4.8 **Family TA**

4.8.1 If the training is ab-initio for a period of one year or more, the Employee may, if he / she so desires, take his/her family to training. In such cases, he / she will be entitled to travel fare for his/her family provided his/her family stays with him / her for a minimum period of 9 months. No other Allowance will be admissible in such cases.

4.9 **Execution of Agreement**

4.9.1 The Employee, before being deputed for the Course / Programme, is to execute an Agreement in the prescribed Format to serve the Company for a period of 5 years after completion of the said Course/Programme and in the event of default, to pay back to the Company a predetermined amount. This amount will be determined taking into account the Pay & Allowances, Travelling Allowances, Fees paid by the Company and other expenses incurred for the programme. An Employee who is under bond to serve the Company for the specified period and wishes to leave the services

of the Company before expiry of the full bond period will be required to pay damages to the Company, as specified.

5 SPONSORSHIP FOR MS (BY RESEARCH), M.Sc (ENGINEERING) BY RESEARCH AND PH.D PROGRAMME (THROUGH EXTERNAL REGISTRATION) AT INDIAN INSTITUTE OF SCIENCE (IISc), BANGALORE AND INDIAN INSTITUTES OF TECHNOLOGY, KHARAGPUR, KANPUR, MADRAS, DELHI & MUMBAI (SPECIFICALLY FOR OFFICERS IN THE DESIGN DISCIPLINE FROM THE R & D CENTERS)

Reference: PC No. 699 dated 22.10.2013

5.1 In the era of Global competitive environment in the field of aerospace, Organizations with technical edge & innovative culture will grow exponentially. Keeping in view the critical issues/challenges encountered in the areas of design for various Projects in the recent past and to support & enhance the research activities in the Organization, it is decided to sponsor Officers for various programmes in the areas of Research & Development for their Knowledge enhancement. In order to facilitate the same, Officers are being extended with an opportunity to acquire Master of Studies- M.S (by Research)/ M.Sc (Engg.) (by Research) and Ph.D.Programme (through External Registration) from IISc-Bangalore and IITs Kharagpur, Kanpur, Madras, Delhi & Mumbai. The salient features of the Scheme are as given below:

5.2 Number of Officers

5.2.1 Maximum of 58 Officers of the Company working in the Research & Development Centers would be sponsored for M. S (by Research)/ M.Sc (Engg.) (by Research) and Ph. D Programme (through External Research) from IISc- Bangalore and IITs Kharagpur, Kanpur, Madras, Delhi and Mumbai, over a period of 10 years.

5.3 Duration of the Programme

5.3.1 The duration to complete Ph.D would vary from 3 to 8 years in IISc & IITs. Theory/course work can be completed in 1 / 2 Semesters equivalent to 6 months/1 year for M.Tech/ B.Tech Graduates respectively;

5.3.2 The duration to complete MS (by Research) & M.Sc (Engg) (by Research) course is 3 years. Theory / course work can be completed in 1 / 2 Semesters equivalent to 6 months/ 1 year for B.Tech Graduates.

5.4 **Programme Structure, Course Structure and Evaluation System**

5.4.1 The complete details of the courses including programme brochures would be as available in the websites of the respective Institutes.

5.5 **Eligibility**

5.5.1 Officers in Grades-II to VI are only eligible;

5.5.2 Officers working in various R&D Centers in Design Disciplines are only eligible for the Courses;

5.5.3 Minimum 3 years of post-qualification work experience in HAL in the Executive Cadre (excluding the training period) as on 31st March of the year of the application. Out of the 3 years, at least 2 years should be in the R&D Centre where the candidate is presently working;

5.5.4 First Class Degree (60%) in Engineering / Technology or its equivalent from recognized Universities/Colleges/Institutes in any Branch. Candidates possessing Post Graduate qualification in Engineering and Technology should have First Class (60%) in the Degree as well as PG Degree;

5.5.5 Age limit for the Courses would be as per the guidelines issued by the respective Institute. However, the maximum age of Officers should not be more than 45 years as on 31st March of the year of application;

5.5.6 The Officer should have excellent track record of PARs in the last 3 years (at least two 85s and one 80) and should possess the potential to rise high in the Organizational hierarchy. No disciplinary/vigilance cases should be pending/contemplated against him/her.

5.6 **Admission Procedure**

5.6.1 R& D Centres will forward the applications of eligible and willing Officers desirous of pursuing any of the programmes, to the respective Complex Offices;

5.6.2 An Officer is eligible to apply for a maximum of three courses only;

5.6.3 A Standing Committee is formed under the Chairmanship of Director (Engineering and R&D) with three members from R&D Centres. Member Secretary of the Standing Committee is the HR Head of Design Complex;

5.6.4 The Complex Offices will forward the applications with their recommendations to the Member Secretary of the Standing Committee. The Committee will scrutinize and short list the candidates and send the recommendations to Corporate Office for approval by the Competent Authority. The Committee after receipt of approval from Corporate Office will inform the concerned R&D Centres for further processing;

5.6.5 The Standing Committee will review HAL's current and future projects and decide the number of Officers to be sent for sponsorship on yearly basis;

5.6.6 The Standing Committee will monitor the progress made in studies & project work by the sponsored candidates. The Committee will interact with the Institutions, if required. The Committee is authorized to extend the duration of completion of the Programme over and above the specified period indicated in para 5.3 above.

5.7 **Publication of papers related to research work**

5.7.1 The selected candidates are required to obtain approval from the CMD for publication of any paper related to the research work.

5.8 **Fee payable**

5.8.1 The following expenses for pursuing the courses will be borne by HAL:

- a) Expenditure incurred by the Officers for the selection process will be fully reimbursed by the Company, including the Application Fee in respect of all the Officers. They will also be eligible for TA/DA as per the Rules of the Company,

whenever they have to travel to the Institute to complete the admission procedure;

- b) The expenditure for payment of Tuition Fees, Examination Fee etc will be fully borne by the Company, in line with the provisions of PC 580 dated 11.05.1988 (as amended) till the completion of the Programme;
- c) Expenditure towards Boarding; Lodging; cost of Books, Stationary etc will be borne by the sponsored Officers. The selected candidates will be eligible for payment of Outstation Allowances (as applicable to the respective Grades), in addition to the normal Pay & Allowances, as provided under PC 580 dated 11.05.1988.
- d) R & D Centres are authorized to permit the Officers to visit the Institutes for specific periods on need basis such as half yearly visits/ Exams/Test/Defense of Thesis/ Technical Discussions etc. The expenditure towards Travel, Boarding & Lodging will be borne by HAL as per the TA/DA Rules applicable and the visit period (including journey days) will be considered as duty for all purposes;

5.8.2 R & D Centres may make necessary provisions for the expenditure in this regard in the budgets of the respective years.

5.9 **Deployment of Sponsored Officers**

5.9.1 R & D Centres will ensure that an Officer who acquires the Doctoral qualification under this Scheme will be deployed according to the deployment plans finalized based on the recommendations of the Division/Complex level Committees.

5.9.2 Officers sponsored for MS (by Research) & M.Sc (Engg.) (by Research) can be considered for continuation to pursue Ph.D if the Institute permits the same and the further study is of specific interest to HAL. However, this should be approved by the Standing Committee (formed as at para 5.6.3 above).

5.10 **Service Bond**

5.10.1 Before acceptance of the nomination, the candidate will have to execute a Bond in the prescribed Format to serve the Company for a minimum period of 5 years after the completion of the Programme and in the event of default to pay back to the Company a pre-determined amount equal to the anticipated expenditure on his/her

Course/ Programme which would include Pay & Allowances, DA/ Outstation Allowance, Travelling Allowance, Fees Paid by the Company in connection with the Course /Programme, etc.

5.11 **Knowledge Sharing**

5.11.1 The sponsored Officers, on successful completion of the Programme, will render their services in sharing the knowledge acquired through the Programme, to the Officers of the Division/R&D Centers, apart from their normal duties. He /She will also extend the services as Teaching Faculty at HMA / TTIs, to share the knowledge. He/she should also act as a Mentor/Guide for the identified Officers in the Divisions/R&D Centers.

6 **SPONSORSHIP FOR MS (BY RESEARCH), M.Sc (ENGINEERING) BY RESEARCH AND PH.D PROGRAMME (THROUGH EXTERNAL REGISTRATION) AT INDIAN INSTITUTE OF SCIENCE (IISc), BANGALORE AND INDIAN INSTITUTES OF TECHNOLOGY, KHARAGPUR, KANPUR, MADRAS, DELHI & MUMBAI AND PH.D.PROGRAMME FROM IIMs / MDI GURGAON / IMI DELHI / XLRI JAMSHEDPUR, ETC (FOR OFFICERS FROM DISCIPLINES OTHER THAN DESIGN)**

Reference: PC. No. 702 dated 27.06.2014
--

6.1 Under this Scheme, Officers working in Disciplines other than Design would be sponsored for MS (by Research), M.Sc (Engg.) by Research and Ph.D.Programme (through External Registration) at IISc-Bangalore / IIT Kharagpur, Kanpur, Madras, Delhi & Mumbai in areas of Engineering (like Mechanical, Electrical, Aerospace, Electronics, CS, IT, Composites etc); and in Disciplines like Finance, IMM, HR etc provided it is of benefit to the Division / Company as a whole at IIMs / MDI Gurgaon/ IMI Delhi / XLRI Jamshedpur etc. Salient features of the Scheme are provided in the following paras.

6.2 **Number of Officers**

6.2.1 The number of Officers to be sponsored under this Scheme will be covered within the limit of 75 Numbers indicated at Para 3.5.1 above.

6.3 **Duration of the Programme**

6.3.1 The duration to complete Ph.D. would vary from 3 to 8 years. Theory/course work can be completed in 1 / 2 Semesters equivalent to 6 months/1 year for M.Tech/ B.Tech Graduates respectively;

6.3.2 The duration to complete MS (by Research) & M.Sc (Engg) (by Research) course is 3 years. Theory / course work can be completed in 1 / 2 Semesters equivalent to 6 months/ 1 year for B.Tech Graduates.

6.4 **Programme Structure, Course Structure and Evaluation System**

6.4.1 The complete details of the courses including programme brochures would be as available in the websites of the respective Institutes.

6.5 **Eligibility**

6.5.1 Officers in Grades-II to VI are only eligible;

6.5.2 Officers working in Disciplines other than Design are covered under the Policy;

6.5.3 Minimum 3 years of post-qualification work experience in HAL in the Executive Cadre (excluding the training period) as on 31st March of the year of the application. Out of the 3 years, at least 2 years should be in the area / field in which they intend to do the Research;

6.5.4 First Class Degree (60%) in Engineering / Technology or its equivalent from recognized Universities/Colleges/Institutes in any Branch. Candidates possessing Post Graduate qualification in Engineering and Technology should have First Class (60%) in the Degree as well as PG Degree. For other Disciplines like Finance, HR & IMM, First Class (60%) in graduation and First Class (60%) in PG Degree would be required;

6.5.5 Age limit for the Courses would be as per the guidelines issued by the respective Institute. However, the maximum age of Officers should not be more than 45 years as on 31st March of the year of application;

6.5.6 The Officer should have excellent track record of PARs in the last 3 years (at least two 85s and one 80) and should possess the potential to rise high in the Organization hierarchy. No disciplinary/vigilance cases should be pending/contemplated against him/her.

6.6 **Admission Procedure**

6.6.1 Divisions will forward the applications of eligible and willing officers desirous of pursuing any of the programmes, to the respective Complex Offices;

6.6.2 An Officer is eligible to apply for a maximum of three courses only;

6.6.3 A Standing Committee is formed under the Chairmanship of Director (HR) with two members from the Manufacturing Divisions, one from an R & D Centre, one from Corporate Finance and one from Corporate HR. Member Secretary of the Standing Committee will be HR Head of Helicopter Complex;

6.6.4 The Complex Offices will forward the applications with their recommendations to the Member Secretary of the Committee. The Committee will scrutinize and short list the candidates and send the recommendations to Corporate Office for approval by the Competent Authority. The Committee after receipt of approval from Corporate Office will inform the concerned Complexes / Divisions for further processing;

6.6.5 The Standing Committee will review HAL's current and future projects and decide the number of Officers to be sent for sponsorship on yearly basis. The Standing Committee will monitor the progress made in studies & project work by the sponsored candidates. The Committee will interact with the Institutions, if required. The Committee is authorized to extend the duration of completion of the Programme over and above the specified period indicated in Para 6.3 above.

6.7 **Publication of papers related to research work**

6.7.1 The selected candidates are required to obtain approval from the Competent Authority for publication of any paper related to the research work.

6.8 **Fee payable**

6.8.1 The following expenses for pursuing the courses will be borne by HAL:

- a) Expenditure incurred by the Officers for the selection process will be fully reimbursed by the Company, including the Application Fee in respect of all the Officers. They will also be eligible for TA/DA as per the Rules of the Company, whenever they have to travel to the Institute to complete the admission procedure;
- b) The expenditure for payment of Tuition Fees, Examination Fee etc will be fully borne by the Company, in line with the provisions of PC 580 dated 11.05.1988 (as amended) till the completion of the program;
- c) Expenditure towards Boarding; Lodging; cost of Books, Stationary etc will be borne by the sponsored Officers. The selected candidates will be eligible for payment of Outstation Allowances (as applicable to the respective Grades), in addition to the normal Pay & Allowances, as provided under PC 580 dated 11.05.1988;
- d) Divisional Heads are authorized to permit the Officers to visit the Institutes for specific periods on need basis such as half yearly visits/ Exams/Test/Defense of Thesis/ Technical Discussions etc. The expenditure towards Travel, Boarding & Lodging will be borne by HAL as per the TA/DA Rules applicable and the visit period (including the journey days) will be considered as duty for all purposes;

6.8.2 The approximate Fee towards the entire duration of MS (by Research), M,Sc (Engg) by Research and Ph. D Programme (through External Registration) is Rs. One Lakh per candidate or as amended by the Institutes during the respective year, and the Fee would be borne under the Training Budget of the respective Divisions. Divisions may make necessary provisions for the expenditure in this regard in the Budgets of the respective years.

6.9 **Deployment of Sponsored Officers**

6.9.1 Divisions should ensure that an Officer who acquires the Doctoral qualification under this Scheme will be deployed according to the deployment plans finalized based on the recommendations of the Division/Complex level Committees;

6.9.2 Officers sponsored for MS (by Research) & MSc (Engg) (by Research) can be considered for continuation to pursue Ph D if the Institute permits the same and the further study is of specific interest to HAL. However, this should be approved by the Standing Committee as at para 6.6.3 above.

6.10 **Service Bond**

6.10.1 Before acceptance of the nomination, the candidate will have to execute a bond in the prescribed Format to serve the Company for a minimum period of 5 years after the completion of the Programme and in the event of default to pay back to the Company a pre-determined amount equal to the anticipated expenditure on his/her Course/ Programme which would include Pay & Allowances, DA/ Outstation Allowance, Traveling Allowance, Fees Paid by the Company in connection with the Course / Programme, etc.

6.11 **Knowledge Sharing**

6.11.1 The sponsored Officers, on successful completion of the Programme, will render their services in sharing the knowledge acquired through the Programme, to the other Officers of the Division, apart from their normal duties. He /she will also extend the services as Teaching Faculty at HMA / TTIs, to facilitate knowledge sharing. He/she should also act as a Mentor/Guide for the identified Officers in the Division.

7 **SPONSORSHIP TO POST GRADUATE COURSES (M.TECH / M.E) AT IITs / BITS, PILANI**

Reference(s):

1. PC No. 686 dated 24.02.2010
2. HAL/HR/42(26)/2017/01 dated 27.03.2017
3. HAL/HR/42(26)/16 dated 17.05.2018

7.1 The Scheme for Sponsorship to specific Post Graduate Courses (M.Tech /M.E) at IITs/ BITS Pliani is introduced to provide mid-career opportunities to the Officers to enhance their knowledge and competencies. In order to facilitate the same, Officers are being extended with an opportunity to acquire Post Graduate Degree in Engineering from the Indian Institutes of Technology (IITs) at Kharagpur, Chennai, Mumbai, Roorkee, Kanpur, Delhi and BITS, Pilani, by inviting applications from interested & eligible Officers.

7.2 The above Institutes have agreed to consider admission of HAL Officers for the M. Tech Programmes in the following identified Disciplines:

7.2.1 M. Tech (Aerospace)

Specializations:

- a) Aerodynamics
- b) Dynamics & Control
- c) Aerospace Propulsion
- d) Aerospace Structures
- e) System Design & Engg

7.2.2 M. Tech (Mechanical)

Specializations:

- a) Thermal Engineering
- b) Design
- c) Manufacturing and Precision Engineering

7.2.3 M. Tech (Electrical)

Specializations:

- a) Control & Instrumentation
- b) Communication System
- c) Micro Electronics & VLSI Design
- d) Power Systems & Power Electronics

7.2.4 M.Tech in Electronics & Communication

Specializations:

- a) Communication System
- b) Telecommunications Systems Engineering
- c) RF & Microwave Engineering
- d) Integrated Electronics & Circuits
- e) Communication Engineering
- f) Electronic Systems

7.2.5 M.Tech in Industrial Engineering / Industrial Engineering & Management (only at IIT Kharagpur and IIT Delhi).

7.3 Sponsorship of the selected Officers for the Courses will be governed by the provisions of PC 580 dated 11.05.1988 (as amended) also.

7.4 **Salient features of the Programme**

7.4.1 Duration of the Courses is Two years;

7.4.2 Programme Structure, Course Structure and Evaluation System

The complete details of the courses including Programme Brochure would be as available in the websites of the respective IITs & BITS Pilani, as indicated below:

- a) IIT Kharagpur : <http://www.iitkgp.ernet.in>
- b) IIT Chennai : <http://www.iitm.ac.in>
- c) IIT Mumbai : <http://www.iitb.ac.in>
- d) IIT Roorkee : <http://www.iitr.ac.in>
- e) IIT Kanpur : <http://www.iitk.ac.in>
- f) IIT Delhi : <http://www.iitd.ac.in>
- g) BITS Pilani : <http://www.bits-pilani.ac.in>

7.4.3 Eligibility

- a) Officers in Grades III & IV are only eligible.
- b) Officers belonging to the Design Discipline are only eligible for the Courses indicated at paras 7.2.1, 7.2.2 (a) & (b), 7.2.3 and 7.2.4. Similarly, Officers belonging to the Production/ Production Engineering Disciplines are only eligible for the Courses indicated at paras 7.2.2 (c) & 7.2.5
- c) Minimum 5 years of post-qualification work experience in HAL in the Executive Cadre (excluding the Training Period) as on 30th June of the year of application.
- d) First Class Degree in Engineering /Technology or its equivalent from recognized Universities/ Colleges/Institutes in the concerned Branch.
- e) Age Limit is 35 years as on 30th June of the year of application. For the Officers working in the Design Discipline, it would be 40 years.
- f) The Officer should have an excellent track record of performance with potential to rise high in the Organisational

hierarchy. No Disciplinary / Vigilance cases should be pending/ contemplated against him/her.

7.4.4 Admission Procedure

- a) Divisions/Offices will forward the applications of eligible and willing Officers desirous of pursuing any of the above Programmes, in the prescribed Formats to the respective Complex Offices;
- b) An Officer is eligible to apply for one Course only;
- c) Complex Offices will constitute Committees to shortlist the applicants. The said Committees will also finalise the Projects for the Programme and deployment plans after completion of the Course of the shortlisted Officers (based on the recommendations of the Divisions / Offices);
- d) After preliminary scrutiny of the applications by the Complex Office, the shortlisted Officers would be called for an Interview by the Complex Committee. The Institute / Course wise name of the Officers who qualify in the Interview will be sent to Corporate Office, along with deployment plan and project details, in the prescribed Format;
- e) Corporate Office will forward the names of the Officers to the respective Institutions. The final selection will be done by the Institutions by Test/Interview or other admission criteria as may be decided by them.

7.4.5 Pre-orientation Programme

The Officers shortlisted for admission by the Institutes will undergo a 4-5 week long orientation program on Engineering Mathematics and General Engineering at HMA before the commencement of the M. Tech Programme. HMA will suggest the References and Reading Material for the pre orientation programme.

7.4.6 Project Work / Elective Courses

- a) The M. Tech Projects selected for each Officer will be coordinated with the Institutes. Divisions/Offices will identify suitable Guides for completing the Project, effectively. As per requirements of IITs, the Guide must be a Qualified M.Tech/MS/Ph.D.

- b) Officers shortlisted for the Programme will undertake the specialization as recommended by the Division/Complex/ the nominating Authority. Change in the specialization will not be permitted.

7.4.7 Fees Payable

The following expenses for pursuing the Courses will be borne by HAL:

- a) The expenditure incurred by the Officers for the selection process will be fully reimbursed by the Company including the Application Fee in respect of all Officers. They will also be eligible for TA/ DA as per the extant Rules of the Company, whenever they have to travel to the Institute to complete the Admission Procedure.
- b) The expenditure for payment of Tuition Fee, Examination Fee etc. will be fully borne by HAL, in line with the provisions of PC 580 dated 11.05.1988 (as amended).
- c) Expenditure towards Boarding, Lodging, Cost of Books, Stationary etc. will be borne by the sponsored Officers. However, the selected candidates will be eligible for payment of Outstation Allowance (as applicable to the respective Grades), in addition to the normal Pay & Allowances.

7.5 **Deployment of the Sponsored Officers**

7.5.1 The Division/Office will ensure that an Officer who acquires the Post Graduate qualification under this Scheme will be deployed according to the deployment plans finalised based on the recommendations of the Division/ Complex Level Committees.

7.6 **Service Bond**

7.6.1 Before acceptance of the Nomination, candidates will have to execute a Bond in the prescribed Format to serve the Company for a minimum period of 5 years after completion of the Programme and in event of default to pay back to the Company a pre-determined amount equal to the anticipated expenditure on his/her Course/ Programme which includes Pay & Allowances, DA/Outstation Allowance, Travelling Allowance, Fees paid by the Company in connection with the Course / Programme, etc. In the event an Officer is not able to successfully complete the

Programme, he/she will be liable to repay all expenses incurred by the Company for the Programme, in full.

7.7 **Knowledge Sharing**

7.7.1 Officers on successful completion of the Programme, will render their services in sharing the knowledge acquired through the Programme, to the other Officers of the Division/Office, apart from their duties. He / she will also extend the services as a Teaching Faculty in HMA or TTI to share the knowledge. He / she should also act as a Mentor/Coach for the identified Officers of the Division.

7.8 Specializations & Seat Matrix in respect of each Institute, Time Schedule etc, for each year will be notified by the Corporate Office.

7.9 **POST GRADUATE COURSES (M.E. / M.TECH) AT DEFENCE INSTITUTE OF ADVANCED TECHNOLOGY (DIAT), PUNE**

7.9.1 Apart from the Institutes mentioned at Para 7.1 above, DIAT Pune has agreed to consider admission of HAL Officers for the M.E / M.Tech Programmes in the following identified Disciplines, effective from the Academic Years 2018-2020.

7.9.2 Specializations offered at DIAT Pune:

- a) Aerospace Engineering: UAV
- b) Mechanical Engineering: Mechanical System Design
- c) Computer Science and Engineering: Cyber Security & Software Engineering and Intelligent Systems
- d) Modeling and Simulation
- e) Sensor Technology
- f) Lasers and Electro – Optics (LEOC)
- g) Technology Management

7.9.3 The Eligibility Criteria, Fee payable, and other Terms & Conditions for sponsorship to DIAT, Pune are on similar lines as mentioned in Paras 7.3 to 7.8.

8 **SPONSORSHIP TO POST GRADUATE PROGRAMME IN PUBLIC POLICY AND MANAGEMENT (PGPPM) AT IIM, BANGALORE**

Reference:
HAL/HR/42(26)/16 dated 17.01.2017

8.1 With the objective of developing the Managerial and Business Skills of the Officers, HAL has been sponsoring them for Post Graduate Programmes in Management at MDI, Gurgaon and IMI, Delhi, from the Academic Year 2006-07 onwards.

8.2 From the Academic Year 2017-18 onwards, it is decided to sponsor interested and eligible Officers to the Post Graduate Programme in Public Policy and Management at IIM, Bangalore. Salient features of the Programme are provided in the following paras.

8.3 **Duration of the Programme**

The PGPPM is a one year full time Residential Programme which begins in April and ends in next March. The Programme also comprises of 2 weeks International Immersion.

8.4 **Programme Structure**

8.4.1 The Features and Structure and the complete details of the Programme for each Term are available at IIMB's Website [www.iimb.ernet.in/Programmes/ Post Graduate / PGPPM](http://www.iimb.ernet.in/Programmes/Post%20Graduate/PGPPM). In addition to the electives identified for the PGPPM Course, the Institute has agreed to offer the Electives of their flagship Programme (Executive Post Graduate Programme –EPGP) to HAL Officers participating in the PGPPM Programme (HAL Officers would be given projects relevant to HAL Business issues).

8.5 **Eligibility for Admission**

8.5.1 A three years Bachelor's Degree of a recognized University in any Discipline, with not less than 60% aggregate marks;

8.5.2 Age limit is 45 years as on 31st March of the year of admission;

8.5.3 Minimum 5 years of post-qualification work experience in HAL in the Executive Cadre (excluding Training Periods) as on 31st March of the year of admission;

8.5.4 Desirous Officers who already possess a recognized PG Degree/ Diploma in Management (2 years Full Time or 3 years Part Time /Correspondence Course) in any Discipline (Finance, Personnel/HR, Marketing, IMM/Materials, Systems etc.) can also apply for sponsorship to the Programme in other Disciplines.

8.6 **Admission Procedure**

8.6.1 Interested and eligible Officers desirous of pursuing the Course may submit their applications in the prescribed Formats to their Divisions/Offices;

8.6.2 The respective Complex Offices will shortlist the Officers after receipt of applications, as per the laid down criteria. Average of three years PAR Marks of 85 & above would be considered for short listing;

8.6.3 Applications of shortlisted Officers would be forwarded to IIM, Bangalore by the Corporate Office for selection at their end. IIM, Bangalore would conduct interview at Delhi/ Bangalore. Candidates will be required to do a Case Analysis at the time of interview.

8.7 **Fees Payable**

8.7.1 The expenditure incurred by the Officers for the selection process will be fully reimbursed by the Company in respect of all the Officers. They will also be eligible for TA/DA as per the Rules of the Company, whenever they have to travel from the Headquarters in view of the Admission Procedure;

8.7.2 The Programme Fee and other related expenses for pursuing the above Course are as indicted below:

a) Fees Payable to the Institute

Fees as prescribed by the Institute will be borne by the Company. Enhancements in Fees or bifurcation of the Fees, in future, will also be borne by HAL (irrespective of domestic and foreign component). The Course Fee for the year 2017-18 was Rs.14,24,040/-. The Course Fee includes Tuition Fee/ Course Material, Security Deposit, International Immersion, Rural Exposure, Library Services, Computer Facilities, Alumni Fee & applicable Taxes.

b) Lodging and Boarding Charges

The actual lodging and boarding charges will be borne by the participants. However, the selected candidates will be eligible for payment of Outstation Allowance (as applicable for respective Grades), in addition to the normal Pay & Allowances, as provided under PC 580 dated 11.05.1988 (as amended). The approximate Lodging charges are Rs. 1,40,000/- per annum (shared accommodation; excluding Taxes).

c) Other Expenses

Expenditure on Stationery, Books and other Miscellaneous Expenses etc. will be borne by the Officers.

d) International Immersion

International Module Fee, Airfare and expenditure towards Boarding & Lodging will be borne by IIM, Bangalore, out of the Fee paid by HAL, which includes International Immersion charges also. The charges towards Visa, insurance etc would be borne by HAL. The sponsored Officers will be eligible for the all-inclusive Consolidated DA as per HAL TA / DA Rules (abroad) (presently US \$ 50 per day), from HAL.

8.8 **Service Bond**

8.8.1 Before acceptance of nominations, candidates will have to execute a Bond in the prescribed Format to serve the Company for a period of 5 years on completion of the programme and in the event of default to pay back to the Company the entire expenditure incurred by the Company on the Course / Programme which would include Pay & Allowances, DA / Outstation Allowance, Travelling Allowance, Fees paid by the Company and other expenses incurred by the Company in connection with the Course / Programme.

8.9 Posting of the Officer after completion of the Programme will be based on the organizational needs. Officers are required to give an Undertaking which needs to be concurred by the Divisional Head, in the prescribed Format.

8.10 Applications are to be submitted by the interested and eligible Officers in the prescribed Format.

- 8.11 Division/Offices must ensure that Officers desirous of pursuing the Course meet all the laid down eligibility criteria indicated above. Shortlisted Officers would have to appear for the interview.
- 8.12 Divisions/Offices should ensure availability of budgetary provisions for sponsorship of Officers during the year of Sponsorship.
- 8.13 Officers submitting their applications may be strictly informed that in case of their selection for the Course, they should not decline from joining the Course at a later date.

9 SPONSORSHIP TO EXECUTIVE PGDM OF MANAGEMENT DEVELOPMENT INSTITUTE, GURGAON – NATIONAL MANAGEMENT PROGRAMME

**Reference:
PC No. 692 (amended) dated 13.02.2014**

- 9.1 Sponsorship of selected Officers for the National Management Programme (Executive PGDM) of Management Development Institute (MDI), Gurgaon is governed by the provisions indicated below as well as the provisions of PC 580 dated 11.05.1988 (as amended).

9.2 Duration of the Programme

- 9.2.1 The Programme comprises of 12 months stay at the MDI Campus, Gurgaon (Residential) plus 6 weeks of International exposure in Europe, followed by 3 months on Dissertation in the parent Organisation.

9.3 Programme Structure, Course Structure and Evaluation System

- 9.3.1 The Structure of the Programme / Courses in each Term and Evaluation System are as provided below.

9.3.2 Structure of the Programme

- a) Twelve months on Campus (Residential) stay, consisting of 5 Terms as indicated below:

First : April to June of the Academic year
 Second : July to September of the Academic year
 Third : October to December of the Academic year

- Fourth : January to March of the Academic year
 Fifth : April to June of the next Academic year

- b) Six weeks of International exposure in Europe;
 c) Three months for Dissertation Work at the respective Organisations

9.3.3 Course Plan

The Course Plan is as indicated below

Term I	Organizational Behaviour Organizational Design and Change Micro Economics Accounting for Business Decision Making Quantitative Techniques in Management Strategy Formulation and Implementation Legal Aspects of Business
Term II	Macro Economics Marketing Management Management Accounting Corporate Finance for Enhancing Value Human Resource Management Research Methods Decision Sciences
Term III	Operations Management Electives (five to six)
Term IV	Electives (five to six)
Term V	Foreign Component Dissertation Work

9.3.4 Electives (Tentative)

Business Communication	Corporate Communication & Media Management Cross-Cultural Communication Effective Business Communication through Theatre Technique Integrated Marketing Communications Managing Image & Corporate Reputation Organizational Communication Negotiation Skills
Marketing	Advertising Management Consumer Behavior & Buyer Behavior

Marketing	Customer Relationship Management International Marketing Issues in Rural Marketing Marketing of Services Sales and Distribution Management Social Marketing Strategic Marketing Management
Strategic Management	Corporate Governance Corporate Sustainability Management Entrepreneurship & Business Development Management of Innovation & Technology Management of Intellectual Property Rights Merger and Acquisition Macro-economic Competitiveness Strategic Marketing Management
Operations Management	Management of Quality Management of Technology Operations Strategy Project Management Service Operations Management Supply Chain Management
Finance	Financial Risk Management International Corporate Finance Investment Management Project Appraisal and Structural Financing Security Analysis and Business Valuation Strategic Cost Management Taxation for Business Planning
HRM / Organizational Behavior	Compensation Management Global Human Resource Management Performance Management Power, Conflict and Negotiations Self-Development & Interpersonal Relationship Strategic Human Resource Management Talent Management Training & Development
Information Management	Business Intelligence – Data Mining Business of Telecommunication Business Process Re-engineering Customer Relationship Management Enterprise Systems Knowledge Management Management of IT Projects Strategic Management of IT
Economics	Financing and Managing Infrastructure Development International Economics

9.3.5 Evaluation System

Performance is evaluated on a continuous basis with Quizzes, Assignments, Tests and Examinations. There is final examination at the end of each Term. Course Evaluation is in terms of letter Grades. The candidates are required to achieve a minimum cumulative Grade Point Average in each Term, as well as a minimum letter Grade in each Course. The overall performance in the Programme would also include the evaluation of the Project Work / Dissertation. The dissertation / project report is required to be submitted within 3 months of completion of the course.

9.4 **Eligibility for Admission**

9.4.1 A Three year Bachelor's Degree of a recognised University in any Discipline, with not less than 60% aggregate marks;

9.4.2 Age limit is 45 years as on 31st March of the year of admission;

9.4.3 Minimum 5 years of post-qualification work experience in HAL in the Executive Cadre (excluding Training Periods) as on 31st March of the year of Admission;

9.4.4 Desirous Officers who already possess a recognized PG Degree / Diploma in Management (2 year Full Time or 3 year Part Time / Correspondence Course) in any Discipline (Finance, Personnel / HR, Marketing, IMM / Materials, Systems etc.) can also apply for sponsorship to the Programme in other Disciplines.

9.5 **Admission Procedure**

9.5.1 Officers desirous of pursuing the Course need to apply in the prescribed Formats to Corporate Office through proper channel.

9.5.2 After preliminary scrutiny by Corporate Office, eligible Officers would be permitted to appear for the MDI Admission Test (MDI AT), Group Discussion and Personal Interview, out of which MDI will select the agreed number of candidates. The details of the selection process by MDI is as follows:

MDI Application Form	Application Forms received from MDI will be circulated to the Divisions by Corporate Office and the candidates should submit it before the Admission Test
----------------------	---

Selection Process	Based on Written Test, MDI Admission Test (MDI AT), Group Discussion and Personal Interview which will be held during the month of February / March at various Test Centres.
Final Selection	List of selected candidates for final offer of admission (in order of merit) would be notified by HAL Corporate Office within a fortnight of the GD / Interview.

9.6 Fees payable

9.6.1 The expenditure incurred by the Officers for the Selection Process will be fully reimbursed by the Company in respect of all the Officers. They will also be eligible for TA/DA as per the Rules of the Company, whenever they have to travel from the Headquarters in view of the Admission Procedure indicated above.

9.6.2 The Programme Fee and other related expenses for pursuing the Course has two components, as indicated below:

a) Domestic Component:

i) Fees payable to the Institution:

Fees as prescribed by the Institute will be borne by the Company. Enhancements in Fees or bifurcation of the Fees, in future, will also be borne by HAL (irrespective of domestic and foreign component);

ii) Lodging and Boarding charges:

The actual Lodging and Boarding charges will be borne by the participants. However, the selected candidates will be eligible for payment of Outstation Allowance (as applicable for respective Grades), in addition to normal Pay & Allowances, as per the provisions of PC 580 dated 11.05.1988 (as amended).

iii) Other Expenses:

Expenditure on Stationery, Books etc. will be borne by the Officers.

iv) Financial Assistance:

Officers sponsored will be provided with a Partial Financial Relief of 75% of the total Boarding & Lodging charges payable by them, in the form of Interest free loan. This amount will be recovered in 24 monthly installments once the Officers return to their Divisions on completion of the course.

b) International Component:

(To be paid at the time of leaving for the International component based on the Invoice received from MDI)

i) The actual expenditure towards the Foreign Module, Airfare, Visa and Insurance charges during the Overseas Stay will be borne by HAL.

ii) Boarding, Lodging and Conveyance charges will be met by MDI, from the Foreign Module Fees paid by HAL. In addition, the sponsored Officers will be eligible for the all-inclusive Consolidated DA as per the HAL TA/DA Rules (Abroad) (presently US \$ 50 per day), from HAL.

9.7 **Service Bond**

Before acceptance of nominations, candidates will have to execute a Bond in the prescribed Format to serve the Company for a period of 5 years after completion of the Programme and in the event of default to pay back to the Company a pre-determined amount equal to the anticipated expenditure on his/her Course / Programme which includes Pay and Allowances, DA/ Outstation Allowance, Travelling Allowance (both in India & abroad), Fees paid by the Company and other expenses incurred by the Company in connection with the Course / Programme.

9.8 Officers who successfully complete the Programme are awarded the Post Graduate Diploma in Management (PGDM). The posting of the Officers after completion of the Programme will be based on the Organisational needs.

10 **SPONSORSHIP TO EXECUTIVE POST GRADUATE DIPLOMA
IN MANAGEMENT AT THE INTERNATIONAL MANAGEMENT
INSTITUTE, NEW DELHI**

Reference: PC No. 694 (amended) dated 13.01.2014

10.1 The 15 months 'Executive Post Graduate Diploma in Management' (PGDM) is also governed by the provisions of PC 580 dated 11.05.1988 (as amended). Salient Features of the Programme are provided in the following paras.

10.2 **Duration of the Programme**

10.2.1 The duration of the Executive Post Graduate Diploma in Management is 15 months comprising of 10.5 months of Course Work (at IMI) and six weeks of International Study Module involving on campus classes at B Schools in Europe. This will be followed by 3 months of Project Work at the Officers' respective Divisions under the guidance of a chosen Guide from IMI and HAL.

10.3 **Programme Structure, Course Structure and Evaluation System**

10.3.1 The Structure of the Programme / Courses in each Term and Evaluation System are provided below:

10.3.2 Structure of the Programme

- a) Following are the Specializations available at IMI for HAL Officers:
 - i) Marketing Management
 - ii) Finance
 - iii) Operations
 - iv) Systems & IT
 - v) (subject to addition of new specializations by IMI)

- b) The Programme is designed in four Terms followed by a Project. Students are required to complete 13 Core Courses, ten Electives, one International Study Module and a comprehensive Project. The list of Core Courses that are offered in Executive PGDM are:

- i) Economics for Managers
- ii) Management Accounting
- iii) Corporate Finance
- iv) Marketing Management
- v) Managing People and Organizations
- vi) Business Statistics
- vii) Leadership
- viii) Research Methodology
- ix) Operations Management
- x) Cross Cultural Management
- xi) Strategy Formulation and Implementation
- xii) International Business and Economic Environment
- xiii) Information Technology for Decision Making

c) List of Electives would be as specified by the Institute.

10.3.3 Evaluation System

The complete Programme will be of 76.5 Credits. Each Credit corresponds to the equivalent of 10 hours of classroom contact. Out of the 76.5 credits, 70.5 credits will be Course Work and 6 Credits for the Project.

10.4 **Eligibility for Admission**

- 10.4.1 Minimum of three year Bachelor's Degree of a recognized University in any Discipline, with not less than 60% aggregate marks.
- 10.4.2 Age limit is 45 years as on 31st March of the year of admission.
- 10.4.3 Minimum 5 years of post-qualification work experience in HAL in the Executive Cadre (excluding Training Periods) as on 31st March of the year of admission;
- 10.4.4 Desirous Officers who already possess a recognized PG Degree / Diploma in Management (2 years Full Time or 3 years Part Time / Correspondence Course) in any Discipline (Finance, Personnel / HR, Marketing, IMM / Materials, Systems etc.) can also apply;
- 10.4.5 Should be having excellent track record of performance with potential to rise high in the Organisational hierarchy;
- 10.4.6 Should be cleared form the Vigilance and / or Disciplinary angle.

10.5 **Admission Procedure**

- 10.5.1 Divisions / Offices are required to forward the duly filled in applications of interested and eligible candidates in the prescribed Formats to the respective Complex Offices;
- 10.5.2 After preliminary scrutiny, the Complex Offices will forward the names of Officers who are high performers and meeting the criteria as mentioned above;
- 10.5.3 Final selection of candidates to be sponsored for the Programme will be decided based on Written Test / Personal Interview conducted by IMI at their campus at New Delhi.

10.6 **Fees payable**

- 10.6.1 The expenditure incurred by Officers for the Selection Process will be fully reimbursed by the Company in respect of all the Officers. They will also be eligible for TA/DA as per the Rules of the Company, whenever they have to travel from the Headquarters in view of the Admission Procedure;
- 10.6.2 Fees as prescribed by the Institute will be borne by the Company. Enhancements in Fees or bifurcation of the Fees, in future, will also be borne by HAL;
- 10.6.3 Payment of Salary & Allowances, Outstation Allowance, TA /DA etc. to the concerned Officers would be made by the respective Divisions;
- 10.6.4 Expenditure towards Boarding & Lodging at Delhi, Reading Material and other Incidental Expenditures will be borne by the sponsored Officers;
- 10.6.5 During the International Module of six weeks, Officers will be eligible for TA /DA as applicable to their Grades as per the HAL TA/DA Rules Abroad (as amended from time to time).

10.7 **Financial Assistance**

- 10.7.1 Officers sponsored will be provided with a "Partial Financial Relief" of 75% of the total Boarding & Lodging charges payable by them, in the form of Interest free Loan. This amount will be recovered in 24 monthly installments once the Officers return to their Divisions / Offices on completion of the course.

10.8 **Service Bond**

10.8.1 Before acceptance of nominations, candidates will have to execute a Bond in the prescribed Format to serve the Company for a period of 5 years after completion of the Programme and in the event of default to pay back to the Company a pre-determined amount equal to the anticipated expenditure on his/her Course / Programme which includes Pay and Allowances, Outstation Allowance, TA/DA (both within the country and abroad), Fees paid by the Company and other expenses incurred by the Company in connection with the Course / Programme.

10.9 Officers who successfully complete the Programme are awarded the Post Graduate Diploma in Management (PGDM). Posting of the Officers after completion of the Programme will be based on the Organisational needs.

11 **SPONSORSHIP TO POST-GRADUATE COURSES AT CRANFIELD UNIVERSITY, UK**

<p>Reference(s): 1. PC No. 693 (amended) dated 01.01.2013 2. HAL/HR/42(26)/15 dated 08.10.2015 3. HAL/HR/42(26)/2017/02 dated 27.03.2017 4. HAL/HR/42(26)/2019 dated 29.07.2019</p>
--

11.1 The Cranfield University, UK has agreed to consider admission of HAL Employees for the Post Graduate Courses in the Technical Disciplines, effective from the Academic Year 2006. The courses identified for sponsoring the Officers are as indicated below:

- a) Aerodynamics (Option for Aerospace Dynamics M.Sc);
- b) Aerospace Propulsion (Option of Thermal Power M.Sc);
- c) Aerospace Vehicle Design M.Sc;
- d) Computational Fluid Dynamics (Option of Aerospace Dynamics M.Sc);
- e) Thermal Power;
- f) Engineering and Management of Manufacturing System

- 11.2 Sponsorship of the Officers for the above Post Graduate Courses in Technology at Cranfield University, UK will also be governed by the provisions of PC Nos. 213 dated 20.07.1972, 273 dated 24.06.1974, 579 dated 16.04.1988, 594 dated 31.07.1989 regarding the Terms & Conditions for deputation / sponsorship of employees for training abroad.
- 11.3 **Number of Officers to be sponsored**
- 11.3.1 The maximum number of Officers to be sponsored in any year will be 26. However, the number of Officers to be sponsored under each Course from year to year will be decided based on the recommendations of the Selection Committee, with the approval of the Chairman and Managing Director;
- 11.4 **Duration of the Course**
- 11.4.1 The duration of all the Courses is One year Full Time;
- 11.5 **Programme Structure, Course Structure and Evaluation System**
- 11.5.1 Complete details with respect to the Courses are available at www.cranfield.ac.uk/soe/postgraduate;
- 11.6 **Eligibility for Admission**
- 11.6.1 First Class Degree in Engineering / Technology or its equivalent from National Institutes of Technology (NITs) or Indian Institutes of Technology (IITs) or from other reputed Institutions, in any Branch;
- 11.6.2 Age limit of 35 years as on 30th September of the year of Admission;
- 11.6.3 Minimum 5 years of post-qualification experience in HAL in the Executive Cadre (excluding Training Periods) as on 30th September of the year of admission;
- 11.6.4 Proficiency in English Language; Minimum requirement is a TOEFL Score of 580 (Paper Test) or 237 (Computer Test) or an IELTS Score of 6.5.

11.7 **Admission Procedure**

11.7.1 Divisions will forward the applications of eligible and willing Officers desirous of pursuing any of the above Courses, in the prescribed Format to the respective Complex Offices;

11.7.2 An Officer can apply for one Course only;

11.7.3 Complex Offices will scrutinize the applications and forward the names of the eligible / potential Officers, for the identified Courses.

11.7.4 After preliminary scrutiny by Corporate Office, the shortlisted Officers would be called for an Interview. The names of the Officers who qualify in the Interview will be sent to the Cranfield University School of Engineering. The final Selection will be made by the Cranfield University School of Engineering based on a telephonic Interview or other admission criteria as may be decided.

11.8 **Fees payable**

11.8.1 The following expenses for pursuing the Courses will be borne by HAL:

- a) Tuition Fee (as stipulated by Cranfield University, UK);
- b) The sponsored Officers will be paid Consolidated DA as per the provisions of HAL TA / DA Rules (Abroad) (as amended from time to time) during the period of Sponsorship (presently US \$ 3000 per month). Medical Insurance and other incidental charges will also be borne by HAL;
- c) Expenditure on Books, Scientific Calculator etc will be borne by HAL;
- d) The Officers sponsored will be paid an advance of US \$ 1000 before they proceed to UK to meet the initial expenses. This advance will be recovered from the first month's DA payable to them;
- e) The expenses towards Airfare and Visa will also be borne by HAL.
- f) The Immigration Health Surcharge (IHS) will be reimbursed along with Visa Charges to the sponsored Officers, since payment of IHS is mandatory for Visa Processing;

- g) Reimbursement of Examination Fees to the Officers selected for Sponsorship.
- 11.8.2 Divisions are required to reimburse the Examination Fee of either TOFEL/IELTS to the Officers selected for sponsorship for M Sc. Programme at Cranfield University UK.
- 11.9 **Pay & Allowances**
- 11.9.1 The selected candidates will be eligible for their applicable Pay & Allowances during the training period, as per Rules;
- 11.10 If the training is ab-initio for a period of 11 months or more, the Officer may, if he/she so desires, take his wife / her husband (spouse) to the place of training. In such a case, the cost of passage for his wife (spouse) will be met by the Company provided his wife / her husband (spouse) stays abroad with him/her for at least a period of Five months.
- 11.11 **Issue of Laptops**
- 11.11.1 The sponsored Officers who have not availed the benefit of Interest Subsidy on Computer Loans, are issued Laptops, by the Divisions/Offices, as per the specifications given by the Corporate Office, from 2013-14 onwards. Such Officers are entitled to retain the Laptops issued to them, on completion of the Course;
- 11.12 **Service Bond**
- 11.12.1 Before acceptance of nominations, candidates will have to execute a Bond in the prescribed Format to serve the Company for a period of 5 years after completion of the Programme and in the event of default to pay back to the Company a pre-determined amount equal to the anticipated expenditure on his/her Course, which would include all expenditure incurred by the Company as indicated above in connection with the Course;
- 11.13 The Posting of the Officers after completion of the Programme will be based on the Organizational needs.

12 **DEGREE IN ENGINEERING FROM BIRLA INSTITUTE OF TECHNOLOGY (BITS) UNDER THE DISTANCE LEARNING PROGRAMME**

Reference:
PC No. 680 dated 30.01.2008

12.1 The Scheme for acquiring Degree in Engineering from Birla Institute of Technology (BITS) under Distance Learning Programme is as detailed below.

12.2 Birla Institute of Technology and Science (BITS), Pilani is offering B.S. Engineering Technology Degree, through Distance Learning Programme (DLP), for employed persons possessing qualification of Diploma in Engineering or University Degree like B.Sc and 2 years of relevant experience. On successful completion of the Six Semester Programme, the participants are awarded the Degree Certificate by BITS. During each Semester, few contact classes will also be conducted at BITS, Pilani, Rajasthan.

12.3 **Duration of the Course**

12.3.1 The Programme duration is 06 Semesters.

12.4 **Programme Structure, Teaching Methodology, Evaluation System etc**

12.4.1 The Structure of the Programme / Courses in each Semester, the Teaching Methodology, Faculty, Attendance Requirements and Evaluation System are as indicated below

a) Programme Structure

Yr	First Semester			Second Semester		
	Course No.	Course Title	Units	Course No.	Course Title	Units
I				MGTS ZC211	Principles of Management	3
				TAZC 312	Technical Report Writing	3
				MATH ZC161	Engineering Mathematics I	3
				ENGG ZC111	Electrical & Electronics Technology	3
				Total		12

Yr	First Semester			Second Semester		
	Course No.	Course Title	Units	Course No.	Course Title	Units
II	TAZC 142	Computer Programming	3	ENGG ZC241	Mechanical Measurements	
	MATHZC 232	Engineering Mathematics II	3	TAZC 232	Engineering Measurements	3
	ESZC 261	Digital Electronics and Microprocessors	3	ENGG ZC232	Engineering Materials	3
	AAOCZC 111	Probability and Statistics	3	AAOC 222	Optimization	3
	Total		12	Total		12
III	ENGGZC 242	Maintenance & Safety	3	ETZC 432	Quality Control, Assurance & Reliability	3
	ET ZC342	Materials Management	3	ETZC 341	Instrumentation & Control	3
	ET ZC412	Production Planning & Control	3	BITSZC471	Management Information Systems	3
IV	Total		12	Total		12
	BITSZC4 23T	Project Work	20			
	Total		20			

b) Project Work

Students enrolled in B.S Engineering programmes will have to register for a full Semester Project Work in their final Semester.

Each student should complete all prescribed coursework of the programme and fulfill the minimum academic requirements before s/he can register for Project Work in her/his final semester of the programme. If the academic performance of the student falls below the minimum requirements, he/she will be required to register in some courses again in a subsequent

semester to improve her/his CGPA, before s/he can register for Project Work.

c) Teaching Methodology

A variety of teaching methods are used as appropriate to each subject. Lecture sessions will be supplemented with Assignments, Case Studies, Laboratory-Oriented Projects, Work Experience, In-Service Training, Internship, Thesis-Seminar, and Project Work.

d) Faculty

- i) Instructors from BITS Pilani are drawn from different disciplines. Apart from that a (locally based) Mentor imparts structured guidance and conducts certain evaluation components.

ii) Role of a Mentor

A Mentor is a Senior Officer of the student-employee who has been nominated by his employing organization or is a person in a senior position willing to undertake and discharge the academic responsibilities on his own violation. It is expected of the Mentor to possess adequate qualifications to guide the student. Typically for the B.S Programme, mentor is expected to have minimum educational qualification of the level of integrated First Degree of BITS or its equivalent such as B.E./BITS B.S/B.Tech/M.Sc/A.M.I.E. etc.

- iii) The Mentors would assist the Course instructors in terms of the following:

Achieving the set of academic objectives specified by the instructors;

Verifying if a student is indeed adhering to the plan of study given in the handout;

- iv) Monitoring involvement of the student in self study, time planning, understanding of concepts and their use, developing self reliant articulation, awareness of and enthusiasm for new pedagogy, responsibility to meet deadlines, develops familiarity with the library etc.

- v) Conducting certain evaluation components like seminar, Assignment, Project, Case study, etc.

e) Evaluation System

- i) For each course in each semester for the B.S programmes there will be typically 2 Evaluation Components (EC) spread over the semester according to the dates specified in the Course handout for watch course Performance in each Course is evaluated separately.

Evaluation	Component Description	Weightage	Given & Evaluated by
EC-1	Mid-Semester test (2 Hrs)	40%	BITS Faculty
Evaluation	Component Description	Weightage	Given & Evaluated by
EC-2	Comprehensive Exam (3 Hrs)	60%	BITS Faculty

- ii) The Institute follows continuous system of internal evaluation and letter grades A,B,C,D,E carrying grade points 10,8,6,4,2 respectively and awarded for all courses other than project work for which only non-letter grades namely excellent, Good, Fair, Poor are awarded.

Grade	A	B	C	D	E
Equivalent Points	10	8	6	4	2

- iii) The Cumulative Grade point Average (CGPA) on a 10 scale basis is used to describe the overall performance of a student in all courses for which Letter Grades are awarded;

CGPA =	$\frac{U_1G_1 + U_2G_2 + \dots}{U_1 + U_2 + \dots}$
--------	---

- iv) The minimum academic requirements for the B.S. programmes, students should obtain a CGPA of 4.50 and no E Grade in any course.

f) Examination Centres:

Candidates from Divisions / R & D Centres / Offices at	Examination Centre
Bangalore	Bangalore
Hyderabad	Hyderabad
Lucknow, Kanpur & Korwa	Delhi
Nasik	Mumbai
Koraput & Barrackpore	Kolkata

12.5 **Eligibility for Admission**

12.5.1 Qualification: Diploma in Engineering or an Under Graduate University Degree like B.Sc;

12.5.2 Experience: Minimum of three years' experience in the Workmen Cadre (excluding Training period, if any) and involved in Engineering profession;

12.5.3 Age Limit:45 years as on 30th June of the year of admission (50 years for SC/ST candidates)

12.6 **No. of Sponsorships**

12.6.1 The total No. of Sponsorships in a year will be 20, for the Company as a whole.

12.7 **Selection of Candidates from HAL**

12.7.1 Candidates have to first apply directly to BITS and secure admission for the Course/Programme. At the time of applying, the Division/Office can give in-principle consent for sponsorship to the employees;

12.7.2 Securing admission into the Programme does not entitle an employee for sponsorship;

12.7.3 Selection of candidates to be sponsored will be made by the Corporate Office;

12.7.4 Those employees who secure admission but do not get the sponsorship from the Company can continue the Programme, on their own, provided the same is permissible as per the norms of BITS.

12.8 **Reservation for SC/ST/OBCs**

12.8.1 15% of the nominees from HAL will be SC candidates, 7.5% ST candidates and 27% OBC candidates.

12.9 **Fee Payable**

12.9.1 The Fee applicable in respect of HAL nominees was as indicated below (as of 2008):

Semester	Fee (INR)
I	27,500 <i>(including Admission Fee of Rs.10,000)</i>
II	17,500
III	17,500
IV	17,500
V	17,500
VI	17,500
TOTAL	1,15,000

12.9.2 The Fee is to be paid by the employees directly, as prescribed by the Institute from time to time, in the required No. of installments, i.e. at the time of admission, beginning of every Semester, etc;

12.9.3 Out of the Fee payable by the HAL Nominees, 50% will be borne by HAL and the balance 50% will be borne by the Nominees;

12.9.4 The 50% Fee payable by HAL will be reimbursed to the employee on submission of claims along with the Fee Receipts issued by the Institute. In other words, employees are required to pay the Fee in full and get 50% reimbursement from the Company;

12.9.5 Other Expenditure: All other expenditure in connection with the course (Application Processing Fee, Text Books & Programme Material, Examination Fee, etc) will be borne by the employees themselves.

- 12.10 **Service Bond**
- 12.10.1 Before nomination, candidates will have to execute a Bond to serve the Company for a minimum period of 3 years, after completion of the Programme.
- 12.11 **Submission of Application**
- 12.11.1 Candidates have to submit their application for sponsorship, after securing admission, in the prescribed Format
- 12.12 Candidates sponsored for the Programme need to have a Mentor in the Division/Office, at the level of Chief Manager. The role of the Mentor is as described at Para 12.4.1 (d) above.
- 12.13 BITS, Pilani conducts the admission process twice a year (April & October). However, the selection for sponsorship by HAL will be conducted only once a year, in October. As such, candidates desirous of sponsorship by HAL should apply and secure admissions in April of each year only;
- 12.14 Further details in this regard can be obtained from the BITS website; www.bits-pilani.ac.in.
- 13 **GRANT OF STUDY LEAVE**
- 13.1 Study Leave can be granted to Employees securing admission for higher studies who have completed two years of service, at the discretion of the GM/ED/CEO/Director, provided the Company would be benefited by the Course of the Study;
- 13.1.1 The Study Leave could be for a maximum period of 24 months;
- 13.1.2 If the course of Study is outside India, prior approval of the CEO / Director is required;
- 13.1.3 Study Leave may be taken in continuation of Vacation Leave;
- 13.1.4 During the period of Study Leave, an Officer is entitled for Basic Pay for the first 4 months (No DA or other Allowances are admissible). A Workman is entitled for Basic Pay & Allowances for the first 6 months;
- 13.1.5 The employee granted Study Leave for 3 months or more, is required to execute a Bond to serve the Company from the date of

his/ her return from Study Leave for the specified periods (see the next Chapter);

- 13.1.6 No Study Leave should be granted to employees who are already under bond (during the currency of a subsisting bond) except during the last six months of the bond period.
- 13.2 Study Leave is granted to Doctors for pursuing 36 months PG Courses at Premier Institutes provided the specialization is beneficial to HAL Doctors granted 36 months Study Leave are required to execute a bond to serve the Company for a period of 5 years from the date of his / her return from Study Leave.
- 13.3 Detailed provisions are included in HR Manual Book No. 05.

14 EXECUTION OF AGREEMENT

References:

1. HAL/PO/3(55)/8083 dated 12.11.1980
2. HAL/P/3(55)/2164 dated 20.09.1984
3. PC No.580 dated 11.05.1988
4. HAL/P&A/42(14)/88 dated 16.06.1988
5. HAL/P&A/42(2)/PO(4)/91 dated 08.02.1991
6. HAL/HR/42(26)/2016 dated 18.07.2017

- 14.1 Employees sponsored for Training and Higher Studies within India or Abroad as well as those granted Study Leave are required to execute Bonds/ Agreements.
- 14.2 The Bond Liability as well as the Bond Duration for Training Programmes / Sponsorships / Study Leave and the system for arriving at the bond liability are indicated in the following Tables I to V:

TABLE-1

TRAINING WITHIN INDIA:: DURATION OF BOND AND LIABILITY			
Sl. No	Duration of Training/Programme	Duration of Bond (Years)	Bond Amount / Liability
1	One year or more	5	The Bond Amount will be equal to the total expenditure for the Course/Training including Pay & Allowances.
2	More than 3 months but less than 1 year	3	
3	Less than 3 months where:	2	The Bond Liability will be non-depreciating i.e. an Employee who wishes to leave the services of the Company before expiry of the full Bond period, at any time, will be required to pay to the Company the entire cost of Sponsorship viz. the total Expenditure incurred for the Course/Trainin including Pay & Allowances.
	(i) Training is in Specialised Areas like:		
	(a) Deputation to Joint development Projects.		
	(b) Aerodrome Operations/ Air Traffic Management/ Aviation Security.		
	(c) Divisional Officers Course (Fire), National Fire Services College Nagpur.		
	(d) Radiological Safety Officer (RSO)/ BAR RT Level-2 Certification programme, Institute for Design of Electrical Measuring Instruments , Mumbai		
	(e) Courses/Training Programmes leading to Certifications in / HR/M&H/Finance/ Civil/ IMM/ Quality/ Project Management Etc		
	(f) AS 9100 Level Accessor Course Certification.		
	(g) Areas indicated in Table – 5		
	(ii) For other Courses where the Course Fee exceeds Rs.30,000/- or more.	1	
4	Less than 3 months in areas which would not be covered under (3) above.	Nil	

TABLE-2

SPONSORSHIP (HIGHER STUDIES):: DURATION OF BOND AND LIABILITY				
Sl. No	Course	Institutes	Duration of Bond (Years)	Bond Amount/ Liability
1	Sponsorship to MBA/ PGPM / PGDM/ PGDBM/ M Tech/ PGDIE/ ME(Avionics) etc (on request of the Employees as per PC No. 580 dated 11.05.1988)	IIMs; IITs; TISS; XLRI, Jamshedpur; XIM, Bhubaneshwar; specified NITs; ISI, Kolkata; NITIE, Mumbai; and MIT, Chennai	5	The Bond Amount will be equal to the total expenditure for the Course/Program me including Pay & Allowances.
2	MSc Courses	Cranfield University, UK	5	The Bond liability will be non-depreciating i.e. an Employee who wishes to leave the services of the Company before expiry of the full bond period, at any time , will be required to pay to the Company the entire cost of the Sponsorship viz: the total expenditure incurred for the Courses/Training including Pay & Allowances.
<p>Note: The Bond Duration in respect of other specified Company Sponsorships for Higher Studies (M.Tech/ M.E at IITs. BITS-Pilani: MS/MSc (Engg) by Research and Ph.D (through External Registration) for R&D Centres as also for Non-Design Disciplines; and PG Courses at MDI, Gurgaon & IMI, New Delhi) would also be 5 years and the Bond Liability would be non-depreciating as specified in the Schemes. Similar would be the case for sponsorship for the PGPPM Course at IIM-Bangalore.</p>				

TABLE-3

TRAINING ABROAD: DURATION OF BOND AND LIABILITY			
Sl No.	Duration of Training/ Programme	Duration of Bond (Years)	Bond Amount/ Liability
1	One Year or more	5	<p>The Bond Amount will be equal to the total expenditure for the course/training including Pay & Allowances.</p> <p>The Bond Liability will be non-depreciating i.e. an Employee who wishes to leave the services of the Company before expiry of the full Bond period, at any time, will be required to pay to the Company the entire cost of Sponsorship viz. the total Expenditure incurred for the Course/ Training, including Pay & Allowances.</p>
2	6 months or more but less than 1 year	4	
3	<p>More than 15 days but less than 6 months in Specialized Areas like:</p> <p>a) Training on New Generation Machines for Operation and Maintenance.</p> <p>b) Deputation for Joint Development Projects.</p> <p>c) Training for learning of Technology and Production Processes/Testing as a part of Transfer of Technology.</p> <p>d) Courses/Training Programmes leading to Certifications in HR/M&H/Finance/Civil/IMM/Quality/Project Management, etc.</p> <p>e) Areas indicated in Table – 5</p>	3	
4	Less than 6 months in other areas and upto 15 days in Specialized Areas as at (3) above.	2	

TABLE – 4

STUDY LEAVE :: DURATION OF BOND AND LIABILITY			
Sl. No.	Duration of Study Leave	Duration of Bond (Years)	Bond Amount / Liability
1	i) 12 months or more but less than or equal to 24 months	4	The Bond Amount would be equal to the Basic Pay & Allowances paid to the Employee as specified in Study Leave Rules + Contribution towards PF, Gratuity and other Funds, with interest at the rate charged by SBI on Cash Credit (the present rate is 8.25% p.a) + Liquidated Damages.
	ii) 3 months or more but less than 12 months	3	
2	Study Leave to Doctors for pursuing 36 months PG Courses at premier Institutes	5	<p>Liquidated Damages would be @ Rs. 1 Lakh in respect of Officers and Rs 50,000/- in case of Workmen, for every year or part thereof of shortfall out of the covenanted period of the Bond.</p> <p>The Bond Liability other than Liquidated Damages will be non-depreciating.</p>

TABLE – 5

SPECIALISED AREAS OF TRAINING WITHIN INDIA & ABROAD

1. 3D Printing/ Advance & Precision Manufacturing & post processing
2. Manufacturing of single crystal blades
3. Machining of Single Crystal Blades (Ultrasonic Machining)
4. Machining of TI Alloys
5. CNC Pipe bending
6. CNC Wire & Spring Forming
7. Composite Manufacturing
8. Abrasive/ Water Jet Machining
9. Wire Cutting
10. Modern Painting Processes
11. Processing Airborne Components(Process Shop & HT)
12. Laser Guided Assembly
13. Reverse Engineering in Manufacturing
14. Material Handling & Packaging of Aircraft components
15. Flexible Manufacturing System
16. Advanced Robotics & Adoptive Automation
17. CNC High Speed & Precision Machining
18. Laser Based Manufacturing
19. Reaction Injection Moulding (RRIM) Composites
20. Advanced Sensor Technology
21. Powder Metallurgy
22. Shape Memory alloys
23. Nano Technology & Fabrication
24. Precision Investment Casting
25. The internet of things
26. Cloud computing for CAD/CAM
27. Flexible substrate for Electronics

28. Latest Technologies in Non Destructive Testing
 - a. Phased array Ultrasonic testing
 - b. Laser Ultrasonic Testing
 - c. Thermography
 - d. Time-of-Flight duration
 - e. Simulation and Modelling of NDT Techniques
 - f. Laser Shearography
 - g. Full matrix capture
 - h. Robotic Automation Inspection
 - i. Guided Wave ultrasonic testing
 - j. Digital Radiography
 - k. Micro- Focus X-ray

- l. Alternative Current Field Measurement
 - m. Computed Tomography
 - n. NDT Training on EDDY current
29. NDT Level III Certification
 30. Air Cycle Machine and its Manufacturing
 31. Servo valves and its manufacturing
 32. Bar-Coding Technology for Material Management
 33. Latest trends in Advanced Tool Design
 34. Green Manufacturing
 35. Near Net Shape Manufacturing
 36. Optical Assembly
 37. Display Systems
 38. Infrared Technology
 39. Soldering Techniques
 40. Electron Beam Welding
 41. Looms Manufacturing
 42. Environmental Stress Screening
 43. Leak Detection Testing
 44. Hardness Testing
 45. In Circuit and Functional ATEs
 46. Coil winding Testing
 47. System Integration Testing
 48. Training In the Field of Metallurgy/Aircraft
Materials/Substitution/Alternate Materials
 49. Training on Flight Simulator
 50. Training on Precision TIG Welding
 51. Training on Fuel Testing at Fluid Control Research Institute , Palghat
 52. Advanced Structural Analysis
 53. Advanced Thermal Analysis
 54. Aerodynamics ,Flight Qualities and Performance
 55. Civil Aviation Requirements
 56. Digital Communications and Signal Processing for Wireless
Communication
 57. Digital Signal Processing for Audio Systems
 58. Embedded System Design
 59. Helicopter Dynamics
 60. Rotor Design
 61. System Engineering
 62. Transmission Design
 63. Disaster Management/ Incident Command Management Course at
National Civil Defence College, Nagpur
 64. TETRA Course, IAF training Establishment ,Pune
 65. MET Course, IAF training Establishment , Coimbatore
 66. Certified IPC 610 F Specialist Training
 67. Flight Safety and Accident Investigation for Helicopters

14.3 **Sureties**

14.3.1 There should be at least two Sureties to the Agreement who guarantee to the Company the due observance by the employee of the Terms & Conditions stipulated for Sponsorship / Training / Study Leave. These Sureties should be either Parents and or close Relatives who are in a position to discharge the contractual terms, if the need arises. Suretyship of HAL employees should not be accepted, if he/she is not a close relative of the employee executing the Agreement.

14.4 The following points may be kept in view in connection with the execution of the Bond:

14.4.1 Bond for training at HAL Management Academy/Technical Training Centers: No Bond is necessary in cases where employees are nominated for Seminars / Symposia / Conferences and Training Programmes at the HAL Management Academy / TTC / TTI which are not in the form of formal training/ programmes unless otherwise specifically stipulated.

14.4.2 Overlapping of Bonds

Where employees are deputed for Courses/ Training in India or abroad while they are already under a Bond to serve the Company for a specified period, which is still subsisting, the latter Bond should run consecutively and not concurrently. However, the total bond liability of all Bonds in such cases at any time should not exceed eight years;

14.4.3 No Study Leave should be granted to an employee who is already under Bond (during the currency of a subsisting Bond) except during the last six months of the Bond period.

14.4.4 In the case of an employee deputed for training programmes/courses abroad the bond liability should be fixed with reference to the academic period that goes with the title of the programme and not with reference to the actual duration. Where a programme is of two semesters it should be deemed to be a programme of one year duration. However, the period spent on journey to and from the place of training will not be reckoned as a part of the period of training / course.

14.4.5 Computation of Period of Service

Employees under bond to serve the Company for specific periods leaving the services of the Company before expiry of the full bond period will be required to pay damages to the Company as indicated in Table- 3 above.

15 **OTHER GENERAL RULES APPLICABLE DURING TRAINING / SPONSORSHIP**

15.1 Canteen Allowance / Subsidy will not be payable to employees deputed on Temporary Duty with payment of Daily Allowance, including those who are deputed / sponsored for Training Programmes, Seminars etc, for the working days (including the journey period) on which Daily Allowance is paid to them. In other words, Canteen Allowance will not be payable for working days when Daily Allowance is paid.

15.2 In respect of Officers sponsored for the PG Courses at Cranfield University & other such Programmes abroad, who are paid Foreign DA, Canteen Allowance will not be payable for the working days when Daily Allowance is paid.

Note: Since Canteen Allowance / Subsidy is paid as a lumpsum amount of Rs.2500/- p.m. (reckoned @ Rs.100/- per day for 25 working days), in the form of Food Coupons (like Sodexo Meal Pass), the same would continue to be paid. The amount of Canteen Allowance/ Subsidy not payable would be deducted while settling the TA/ Daily Allowance Claims. The amount of Canteen Allowance / Subsidy deductible would be @ Rs.100/- per working day on which full Daily Allowance is claimed. In cases where Daily Allowance is claimed for fractions of the day, deductions of Canteen Allowance/ Subsidy would also be made on similar lines (i.e., if Daily Allowance is only 30% , 30% of the Canteen Allowance/ Subsidy for the day will be deducted.

15.3 In respect of Conveyance Allowance, 15% of the Basic Pay (which is the rate prescribed under the Cafeteria System towards Conveyance Allowance) will be recovered from Officers deputed Abroad. This would be applicable for deputations exceeding continuous 30 days only. The recovery will start from the 31st day onwards. For periods less than one month, the recovery will be made on a pro-rata basis.

15.4 In case of Inland deputation of Officers also, no recovery of Conveyance Allowance will be made for periods upto & including

30 continuous days. Local Conveyance claim for Journeys undertaken at the Temporary Duty Station, if any, would be adjusted to the extent of 15% of the Basic Pay. In case there is no Local Conveyance Claim, no deduction will be made on a pro-rata Basis. Adjustments would be made in cases where Taxi/ Conveyance are arranged by the Company also, with respect to the bills paid.

15.5 Recovery as at Paras 15.3 & 15.4 above will be made irrespective of the fact whether the officer has opted Conveyance Allowance as one of the Optional Allowances under the Cafeteria System or not.

16 **ALLOWING STUDENTS TO DO PROJECT WORK / INTERNSHIP / INPLANT TRAINING /SUMMER TRAINING / ON THE JOB TRAINING/ FAMILIARISATION STUDY IN HAL**

Reference: HAL/ P&A/ 21(14)/2011 dated 15.02.2012
--

16.1 Divisions/Offices have been allowing Students pursuing different Courses to do Project Work/Internship/Summer Training / Inplant Training/On the Job Training/ Familiarisation Study, on `No Fee No Pay basis in the Company.

16.2 The following Guidelines would be applicable in this regard:

16.2.1 Project Work / Internship / Summer Training / In-plant- Training / On the Job Training / Familiarization Study will be allowed only in respect of children of HAL employees;

16.2.2 Students other than children of HAL employees will be permitted to do only Project Work, based on feasibility. Being an Aeronautical Industry, requests received from Students other than children of HAL employees could be considered in respect of Courses like AME License for On-the-Job / In-Plant Training, based on feasibility.

16.2.3 Specific approval of the Divisional Head (GM / ED) must be obtained by all students before they start the Project Work / Training / Study in HAL, including employees' children.

16.2.4 Request letter in original received from the Principal / Director / Dean of the College / Institute, on the Official Letter Head of the College / Institute should only be considered for granting permission. The letter should clearly indicate the particulars of the

Student, specific field of study (if any) required, duration of the study, etc. A Photograph of the Student must be affixed in the letter, duly attested by the Signatory of the letter, along with the College / Institute Seal. In cases of doubts, the credentials of the College / Institute will be verified by the Division / Office, before considering the request.

- 16.2.5 The Project Work / Training / Study should be part of the curriculum and in partial fulfillment of the Course. This should also be indicated in the letter from the College / Institute.
- 16.2.6 In respect of employees' children, the concerned employee would also submit an application requesting for permission to do the Project Work / Training / Study by his/her ward.
- 16.2.7 Requests from Colleges / Institutes recognized by the UGC/AICTE/ reputed Universities / renowned Autonomous Institutes etc., would only be entertained.
- 16.2.8 Students who are pursuing Professional Courses like Degree in Engineering, Post Graduate Degree in Engineering, Post Graduate Degree / Diploma in Management / HR / Finance / Organisational Behaviour etc would be given preference for doing the Project Work / Training / Study.
- 16.2.9 The proposal seeking approval of the Division would be scrutinized by the HR Head and submitted to the HOD of the Department in which the Project Work / Training / Study is to be undertaken. The proposal will be put up to the Divisional Head for consideration & approval, with the recommendations of the HOD. Before the proposal is submitted for approval, the Project / Course Guide would be identified and his/her consent obtained. The Project / Course Guide would ensure that sensitive information pertaining to the Organisation is not divulged to the Students(s).
- 16.2.10 If necessary, a Committee comprising of Officers from Production, Planning, Finance/Systems Audit / MSD / HR Departments can be constituted to screen the applications received and make recommendations.
- 16.2.11 Requests received from Colleges / Institutes for a group of students to do Project Work would also be considered, based on feasibility. If employees' children are part of the Group, request letter from the concerned HAL employees would also be taken. When requests are received from a group of Students, photographs of each of them should be affixed in the letter, or in an enclosure to the letter, duly

authenticated by the signatory to the letter along with the seal of the College / Institute.

- 16.2.12 Approval for conducting the Project Work / Training / Study would be communicated by the Division / Office, directly to the College / Institute only.
- 16.2.13 The Project Work selected / given should be of relevance to the Division/ Office also, so that both the student(s) and the Company are benefited.
- 16.2.14 Each Division / Office can fix the maximum number of Students who will be allowed to do the Project Work / Training / Study at any given point of time and restrict the number of Students accordingly, keeping in view the production activities, resources available in the Division / Office to support the Students, Security reasons, etc. The total number of cases permitted in a year will normally be limited to 10% of the employee strength in the Division / Office (a Group Project will be taken as one case). The actual number to be permitted will, however, be decided by the concerned CEO / Director (Engg. and R &D). Divisions/ Offices can fix a ceiling lower than 10% of the employee strength also. If more requests are received, the applications can be forwarded to other Divisions/ Offices of the Complex or other Divisions/ Offices at the same station, for consideration, within the Quota, if any, available with them.
- 16.2.15 Divisions can also fix the maximum number of students who will be allowed to do Project Work / Training / Study from one Institute / College during a year.
- 16.2.16 Maximum period allowed to complete the Project Work / Training / Study by Students who are pursuing Professional Courses like Degree in Engineering, PG Degree in Engineering, etc. in the normal Course, would be one year, provided it is as per the requirement of the University/ Institute. For other Courses, the maximum period allowed completing the Project Work / Training / Study would be 3 months.
- 16.2.17 Before Students are allowed to undertake the Project Work / Training / Study, Police Verification/ Clearance Certificate about the Students from the concerned Jurisdictional Police Authorities would compulsorily be obtained, in the Format at Annexure XXV. Further, the students should also produce a Character/Conduct Certificate issued by the College / Institute, vouching for the student.

- 16.2.18 Divisions / Offices would obtain the bio-data / personal details of the student, particulars of the Course & Institute, particulars of relatives (if any) working In HAL, etc before commencement of the training. Further, an Undertaking / Indemnity Bond as per the Format at Annexure XXVI would also be obtained, before commencement of the Programme.
- 16.2.19 The HR Department must verify the authenticity of the documents submitted by the Student(s). If required, the concerned College / Institute will be approached for re-verification.
- 16.2.20 Indian Nationals studying in Educational Institutions within India will be permitted to do the Project Work / Training / Study. Further, Indian Citizens studying abroad could also be allowed to do the Project Work etc. with the consent of the concerned Director / CEO and after ensuring due diligence on security.
- 16.2.21 Students would compulsorily display the Identity Badge issued by the Security Department of the Division / Office, during their stay in the Division / Office.
- 16.2.22 The Project Report/ Study Report should be vetted by the Project Guide so as to ensure that the Report / Suggestions are not detrimental to the Organization in any manner. Under no circumstance, classified information / documents / data is to be divulged to the Students by any employee.
- 16.2.23 In the event any malpractice / violation of discipline/ safety norms by any student is observed during the training period, his/her traineeship will be terminated forthwith and the Institute / College intimated. The Division / Office will have the discretion not to entertain any request from that College/ Institute in the subsequent 3 years.
- 16.2.24 The Trainees will be allowed entry only to specified Departments / Shops / Hangars (Including Canteen). In other words, free entry to all areas will not be allowed.
- 16.2.25 Time for entry and exit from the Division/Office can also be specified, keeping in view the Security requirements. System for maintenance of daily attendance will also be prescribed.
- 16.2.26 Students will not be allowed to carry devices like Mobile Phones, recording media like Pen Drives etc., inside the Factory premises.

16.2.27

Other conditions which students will have to follow for undergoing the training as well as during the training period are as indicated below:

- a) Should not quote any classified information that may come to his knowledge during the training.
- b) The Company shall not undertake the responsibility to provide any additional facilities and he will have to avail only the existing facilities.
- c) Should make own arrangements for stay and transportation from place of stay to the Factory/Office and back.
- d) Should get the Project Report/Study Report vetted by the Project Guide before submitting to the College / Institute. A copy of the Report will be submitted to the HR Department.
- e) Should bring the required Police Clearance Certificate in the prescribed Proforma, along with 2 passport size photos for issuance of Security Pass.
- f) Can avail canteen facilities within the Factory premises during the period of the training, with payment of applicable charges.
- g) The Management can withdraw the permission granted at any time without assigning any reasons.
- h) The Company shall have no responsibility for any incident resulting in partial / total disablement or death and no claim shall lie/be made against HAL. The student will be doing the training at his own cost / risk.
- i) The Student shall at all times observe the health & safety precautions as may be prescribed / notified / displayed at the place of work.
- j) The Student shall at all times, conform to the Rules & Regulations of HAL and lawful orders / instructions as may be prescribed during his training period. He shall not cause any willful damage to the properties of the Company.
- k) Shall not enter classified / non-permitted areas within the Factory / Office premises.

- l) The Student shall keep and display the identity pass issued to him, during the entire duration of the training period. Upon completion of the training period, he shall return the same to the Security Department.
- m) The Student shall be subject to applicable penalties for violating any provisions of the Indian Official Secrets Act, 1923.

17 **SCHEME TO ALLOW ME/M.TECH AND PH.D STUDENTS TO DO SPECIALIZED PROJECTS**

<p>Reference: HAL/HR/21(14)/15/02 dated 07.06.2016</p>
--

17.1 ME/M.Tech and PhD Students are allowed to do specialised Projects selected by the Divisions/R&D Centres. The following Guidelines are applicable in this regard:

- a) Division/R&D Centres should identify/short list Projects involving technological issues that can be assigned to the Students.
- b) Divisions/R&D Centres would liaise with reputed Engineering Colleges in the State/City/Vicinity, inviting participation of the Colleges and their Students to undertake the assigned Projects.
- c) The Colleges to be approached may also be selected based on the Rankings published by reputed Publications, etc, which are in the public domain.
- d) As the number of Projects which can be assigned in a year may be limited, Colleges & Students would be taken on a 'First Come First Served' basis.
- e) Students will be allowed to do the Projects in small Groups also.
- f) Maximum such Projects would be 2 to 5 per Division/R&D Centre per year.

- g) The Project will be under the guidance of a nominated HAL Officer. Project Guide from the College will be as per the University/Institute Regulations.
- h) Maximum duration of the Project would be 1 year for ME/M.Tech Students. For Ph.D Students, the same may be in alignment with University / Institute Regulations.
- i) Solutions, Prototypes etc developed by the Students will be the property of HAL and will be used by HAL.
- j) No Stipend / Fee will be payable to the Students. However, expenditure, if any, incurred by them for completion of the Project (like material purchased to do the Project, etc) will be reimbursed by the Company, limited to Rs. 25,000/- per Project. For this purpose, after completion of the Project, the Student(s) will submit their Claims with the recommendation of the College/ Institute, along with Bills/ Supporting Documents (if Bills are not available for all items, self Certified Vouchers can be submitted). Recommendation of the HAL Project Guide will be taken, before release of the payment.

18 **SCHEME TO ALLOW STUDENTS OF INSTITUTE OF COMPANY SECRETARIES OF INDIA (ICSI) / INSTITUTE OF COST ACCOUNTANTS OF INDIA / INSTITUTE OF CHARTERED ACCOUNTANTS OF INDIA (ICAI) TO DO INDUSTRIAL TRAINING IN THE COMPANY**

Reference: HAL/HR/21(114)/15/03 dated 07.06.2016

18.1 Students pursuing Courses of the Institute of Company Secretaries of India (ICSI) /Institute of Cost Accountants of India/ Institute of Chartered Accountants of India (ICAI) are required to undergo Management/ Industrial Apprenticeship Training. As per the ICSI Regulations, Students pursuing the Company Secretariat Course have to undergo Management/Apprenticeship Training, which is mandatory as per the Course. As per the Regulations of the Institute of Cost Accountants of India, provision exists for students to undergo Practical Training on whole time basis. As per the Chartered Accountants Regulations, 1988, provision exists for Students to opt for Industrial training during the last year of prescribed 3 years period of practical Training, which is optional.

18.2

The duration of training etc prescribed presently are as follows:

Regulation	Course	Duration
Company Secretaries Regulation, 1982	Students who have passed Executive Programme Examination conducted by the Institute of Company Secretaries of India (ICSI), New Delhi	2 Years
	Students who have passed Professional Programme Examination conducted by the Institute of Company Secretaries of India (ICSI), New Delhi	1 Year
Cost and Works Accountants Act, 1959	Students who are pursuing the Course of the Institute of Cost Accountants of India, Kolkata	1 to 3 years or as specified by the Institute
Chartered Accountants Regulations, 1988	Students who have passed Intermediate (Professional Competence) Examination or Professional Education (Examination-II) or Intermediate Examination conducted by the Institute of Chartered Accountants of India (ICAI)	9 to 12 Months

18.3

In this connection, requests are received from the Institutes as well as Students pursuing these Courses to allow them to undergo the training in the Company. As the Company can contribute to the cause of professional development in the Country by imparting

training to such Students, the need was felt to introduce a Scheme to this effect in the Company. Induction of the Students as Trainees shall also facilitate extra hands for the concerned Departments.

18.4 The Scheme provides to induct intermediate passed Students from the Institute of Company Secretaries of India (ICSI)/ Institute of Cost Accountants of India / Institute of Chartered Accountants of India (ICAI), as Industrial Trainees (Finance/CS). Normally, the number of Trainees to be engaged would be within the OSS of the concerned Departments in the Division/Office. However, if additional hands are required by a particular Division, adjustments within the Complex can be made, with the concurrence of Complex Finance and approval of the CEO, within the OSS of the Complex. The Trainees would be paid Stipend by the Company.

18.5 The Overall Number of Trainees to be engaged within each Complex, the period of Training and Stipend payable, would be as indicated below:

S I	Complex / Office	Max. Number of Trainees to be inducted in a Financial Year	Max. Number of Trainees at any time (since Training is for 2 years)	Maximum period of Training	Stipend payable (Rs/PM)
1	Bangalore	6	12	2 Years	1 st Year 10,000
2	Helicopter	2	4		2 nd Year 12,000
3	Design	1	2		

S I	Complex / Office	Max. Number of Trainees to be inducted in a Financial Year	Max. Number of Trainees at any time (since Training is for 2 years)	Maximum period of Training	Stipend payable (Rs/PM)
4	MiG	4	8	2 Years	1st Year 10,000
5	Accessories	5	10		
6	CO	Fin-1 CS-1	Fin-2 CS-2		2nd Year 12,000
	Total	20	40		

ANNEXURES

Annexure-I

CONFIDENTIAL

HINDUSTAN AERONAUTICS LIMITED
 _____ **DIVISION / OFFICE**

PHOTO

PERFORMANCE APPRAISAL REPORT
(For officers in Grade I & II)

ANNUAL

PROBATION

For the Period : From _____ To _____

NAME : DESIGNATION: GRADE : DEPARTMENT:	EDUCATIONAL QUALIFICATIONS :
	LEARNING AND DEVELOPMENT AND CERTIFICATION PROGRAMMES ACQUIRED, IF ANY
DATE OF BIRTH :	DATE OF APPOINTMENT TO PRESENT GRADE :
DATE OF SUPN :	

PROPERTY RETURN FOR THE YEAR ENDING _____ SUBMITTED : YES / NO
--

WHETHER QUALIFIED IN THE LEARNING AND CERTIFICATION EXAM ("O" LEVEL) : YES / NO MONTH AND YEAR OF PASSING :
--

TRAINING COURSES ATTENDED DURING THE LAST 5 YEARS				
	COURSES	INSTITUTION	FROM	TO
a) WITHIN INDIA				
b) ABROAD				

CAREER GROWTH IN HAL

SL NO	PERIOD		DESIGNATION	GRADE	DIVISION / OFFICE	DEPT.	SHOP / SECTION
	FROM	TO					

(Signature of Officer from HRD cell)

(Signature of Appraisee)

B.3 What in your opinion are your areas of strength?

Name :

Designation :
:

Signature

Note : While filling in the form, the Officer is requested to be brief and specific.
Highlight achievements in the context of Annual Tasks only.
Routine / Normal Tasks carried out need not be mentioned.

B.4 COMMENTS ON SELF APPRAISAL

Initiating Authority	Reviewing Authority

B.5 "INTEGRITY" of the Appraisee (Tick)

	Above Board	Open to doubt	If open to doubt, a secret note should be enclosed
IA			
RA			

PART—C > C.1 ASSESSMENT OF TRAITS

Grade of the Appraiser	Initiating Authority	Reviewing Authority
Grade – I / II	Minimum Grade III or above	Minimum Grade V or above

Note: While the levels of the IA & RA, in general, should be as above, if the Appraiser is reporting to Officers at lower levels, the IA & RA can be in lower Grades also.

ATTRIBUTES AND THEIR DESCRIPTION	MAXIMUM MARKS	INITIATING AUTHORITY	REVIEWING AUTHORITY
1. Performance : Based on the marks scored against Quarterly Tasks (Part A)	80		
2. Job Knowledge : Extent of theoretical knowledge & practical know-how as related to Assigned Tasks; Related / allied jobs & knowledge of current developments in his own field.	5		
3. Quality of Work : General excellence of output, methods and systems.	5		
4. Man Management : Ability to ensure optimum utilization of manpower towards target fulfillment	5		
5. Punctuality & Attendance: General discipline in adhering to work timing and attendance.	5		
	100		

Note: If there is variation in Marks awarded between the IA and the RA against 'performance' at part C.1.1 above, the RA should indicate justification for such variation also at column C.1.1.

C.2 SCALE OF GRADATION:

TOTAL MARKS	100-90	89-80	79-70	BELOW 50
PERFORMANCE RATING	Exceptional	Above Average	Average	Below Average

Part—D > QUALITATIVE ASSESSMENT OF THE APPRAISEE (PEN PICTURE)

The IA and RA to comment on

- The appraisee's attitude towards his work, his colleagues, superiors and subordinates.
- His general demeanour, security consciousness, his sociability and co-curricular activities.
- His reaction to the feedback on the areas of improvements, and improvements, if any shown by him
- Any other comments.

INITIATING AUTHORITY	REVIEWING AUTHORITY

Part-E > GENERAL ASSESSMENT AND MANAGEMENT REVIEW CATEGORISATION

ASSESSMENT AUTHORITIES	STRENGTHS	AREAS REQUIRING IMPROVEMENTS	MANAGEMENT REVIEW CATEGORISATION (Ref.Note)
INITIATING AUTHORITY			
REVIEWING AUTHORITY			

Note: Cat - A: An officer who has high degree of potential for advancement.

Cat - B: An officer who has potential for limited advancement.

Cat - C: An officer who has no potential for advancement.

Part - F > TRAINING / DEVELOPMENTAL NEEDS

ASSESSMENT AUTHORITY	EXPERIENCE / JOB ROTATION (Indicate area)	TRAINING / DEVELOPMENTAL NEEDS (indicate area)
INITIATING AUTHORITY		
REVIEWING AUTHORITY		

Signature of IA: Name: Designation / Grade: Department	Signature of RA: Name: Designation/ Grade: Department:
---	---

Part – G > G.1 EVALUTION BY PERFORMANCE REVIEW BOARD (In case of Annual Reports only)

(To be recorded by the Secretary of the Performance Review Board. PRB to consult IA / RA, Wherever necessary, if they are not the members PRB, before awarding Final Marks / Performance Rating. Final Marks / performance Rating to be awarded based on the scale of Gradation at item C.2)

FINAL MARKS / PERFORMANCE RATING:	
SECRETARY: SIGNATURE: NAME: DATE:	CHAIRMAN OF PRB: SIGNATURE: NAME: DATE:

G.2 Remarks of General Manager (if not IA / RA)

Name:	Signature:

PART - H > ILLUSTRATIVE LIST OF AREAS FOR TRAINING

- 1) General Management
- 2) Quality Management / Quality Control
- 3) Production Planning and Control
- 4) Computers
- 5) Materials Management
- 6) Functional Areas
- 7) Interpersonal relationship
- 8) Communication skills
- 9) Advanced Management Programme
- 10) Organisational Development Programme
- 11) Project Management
- 12) Presentation Skills
- 13) Negotiation Skills
- 14) Counseling skill
- 15) Senior Executive Programme
- 16) Finance Management
- 17) Negotiation & Contracts Administration
- 18) Company Policies
- 19) ERP
- 20) Contracts Management
- 21) IPR and other Laws
- 22) Lean
- 23) Excellence in Production & Operations Management
- 24) Mentoring
- 25) Programme Development
- 26) Reliability Engineering
- 27) Methods & Tooling
- 28) IMM for non-IMM
- 29) Software Tools (MS Projects, Advance MS Excel, Miniab)
- 30) Certification Program in Finance
- 31) Managing Cost Centers and Profit Centers
- 32) Business Ethics
- 33) Business Development and Management
- 34) Others

PART – I > FOR USE OF HRD CELL

Check List:

- a) Have all the relevant columns of the report been filled? : Yes / No
- b) Any other Remarks on the report : Yes / No
- c) Feedback, if any, to be communicated to the Appraisee: Yes / No
If yes, date of communication of Feedback :

Name:	Signature:
Designation:	Date:

Note: i) To be checked and signed by the officer in-charge of the HRD Cell of the Division / Office.

Annexure-II
CONFIDENTIAL

HINDUSTAN AERONAUTICS LIMITED
_____ **DIVISION / OFFICE**

PHOTO

PERFORMANCE APPRAISAL REPORT
(For officers in Grade III & IV)

ANNUAL

PROBATION I / II

For the Period : From _____ To _____

NAME : DESIGNATION: GRADE : DEPARTMENT:	EDUCATIONAL QUALIFICATIONS :
	LEARNING AND DEVELOPMENT AND CERTIFICATION PROGRAMMES ACQUIRED, IF ANY
DATE OF BIRTH :	DATE OF APPOINTMENT TO PRESENT GRADE :
DATE OF SUPERANNUATION:	

PROPERTY RETURN FOR THE YEAR ENDING _____ SUBMITTED : YES / NO
--

WHETHER QUALIFIED IN THE LEARNING AND CERTIFICATION EXAM ("A" LEVEL) : YES / NO MONTH AND YEAR OF PASSING :
--

TRAINING COURSES ATTENDED DURING THE LAST 5 YEARS				
	COURSES	INSTITUTION	FROM	TO
a) WITHIN INDIA				
b) ABROAD				

CAREER GROWTH IN HAL

SL NO	PERIOD		DESIGNATION	GRADE	DIVISION / OFFICE	DEPT	SHOP / SECTION
	FROM	TO					

(Signature of Officer from HRD cell)

(Signature of Appraisee)

B.3 What in your opinion are your areas of strength ?

Name :

Designation :

Signature :

Note : While filling in the form, the Officer is requested to be brief and specific.
Highlight achievements in the context of Annual Tasks only.
Routine / Normal Tasks carried out need not be mentioned.

B.4 COMMENTS ON SELF APPRAISAL

Initiating Authority	Reviewing Authority

B.5 “INTEGRITY” of the Appraisee (Tick)			
	Above Board	Open to doubt	If open to doubt, a secret note should be enclosed
IA			
RA			

PART—C > C.1 ASSESSMENT OF TRAITS

Grade of the Appraisee	Initiating Authority	Reviewing Authority
Grade – III / IV	Minimum Grade V or above	Minimum Grade VI or above

Note: While the levels of the IA & RA, in general, should be as above, if the Appraisee is reporting to Officers at lower levels, the IA & RA can be in lower Grades also.

ATTRIBTES AND THEIR DESCRIPTION	MAXIMUM MARKS	INITIATING AUTHORITY	REVIEWING AUTHORITY
1. Performance : Based on the marks scored against Quarterly Tasks (Part A)	75		
2. Job Knowledge : Extent of theoretical knowledge & practical know-how as related to Assigned Tasks; Related / allied jobs & knowledge of current developments in his own field.	5		
3. Planning & Co-ordination : Ability to meticulously plan his job and effectively co-ordinate with his team members in achievements of common organizational goals.	5		
4. Quality of Work: General excellence of output, methods and systems.	5		
5. Developing Subordinates: Ability to interact, guide, counsel and nurture subordinates with a view not only to help them to perform their present job effectively but also to groom them for meeting greater responsibility / challenge.	5		

7. Potential to Shoulder higher responsibilities : Ability to take up higher level responsibility and set pace for the team members towards goal achievement	5		
	100		

Note: If there is variation in Marks awarded between the IA and the RA against 'performance' at part C.1.1 above, the RA should indicate justification for such variation also at column C.1.1.

C.2 > SCALE OF GRADATION:

TOTAL MARKS	100-90	89-80	79-70	BELOW 50
PERFORMANCE RATING	Exceptional	Above Average	Average	Below Average

Part—D > QUALITATIVE ASSESSMENT OF THE APPRAISEE (PEN PICTURE)

The IA and RA to comment on

- The appraisee's attitude towards his work, his colleagues, superiors and subordinates.
- His general demeanour, security consciousness, his sociability and co-curricular activities.
- His reaction to the feedback on the areas of improvements, and improvements, if any shown by him
- Any other comments.

INITIATING AUTHORITY	REVIEWING AUTHORITY

Part-E > GENERAL ASSESSMENT AND MANAGEMENT REVIEW CATEGORISATION

ASSESSMENT AUTHORITIES	STRENGTHS	AREAS REQUIRING IMPROVEMENTS	MANAGEMENT REVIEW CATEGORISATION (Ref.Note)
INITIATING AUTHORITY			
REVIEWING AUTHORITY			

Note: Cat - A: An officer who has high degree of potential for advancement.

Cat - B: An officer who has potential for limited advancement.

Cat - C: An officer who has no potential for advancement.

Part - F > TRAINING / DEVELOPMENTAL NEEDS

ASSESSMENT AUTHORITY	EXPERIENCE / JOB ROTATION (Indicate area)	TRAINING / DEVELOPMENTAL NEEDS (indicate area)
INITIATING AUTHORITY		

REVIEWING AUTHORITY		
--------------------------------	--	--

Signature of IA:	Signature of RA:
Name:	Name:
Designation / Grade:	Designation/ Grade:
Department	Department:

Part – G > G.1 EVALUATION BY PERFORMANCE REVIEW BOARD (In case of Annual Reports only)

To be recorded by the Secretary of the Performance Review Board. PRB to consult IA / RA, wherever necessary, if they are not the members PRB, before awarding Final Marks / Performance Rating. Final Marks / performance Rating to be awarded based on the scale of Gradation at item C.2)

FINAL MARKS / PERFORMANCE RATING:	
SECRETARY: SIGNATURE: NAME: DATE:	CHAIRMAN OF PRB (Divisional Head): SIGNATURE: NAME: DATE:

G.2 Remarks of General Manager (In case he is not IA / RA)

Name:	Signature:

G.3 Remarks of Functional Director (in case of HODs of Functional Departments namely HR,

Finance & IMM) (In case he is not IA / RA)

Name:	Signature:

G.4 a) Remarks of Managing Director / Functional Director (only for Gd IV) (In case he is not IA / RA)

b) Remarks of Chairman in case of Officers of Vigilance Department (only for Grade IV) (In case he is not RA)

Name:	Signature:

PART - H > ILLUSTRATIVE LIST OF AREAS FOR TRAINING

- 1) General Management
- 2) Quality Management / Quality Control
- 3) Production Planning and Control
- 4) Computers
- 5) Materials Management
- 6) Functional Areas
- 7) Interpersonal relationship
- 8) Communication skills
- 9) Advanced Management Programme
- 10) Organisational Development Programme
- 11) Project Management
- 12) Presentation Skills
- 13) Negotiation Skills
- 14) Counseling skill
- 15) Senior Executive Programme
- 16) Finance Management

- 17) Negotiation & Contracts Administration
- 18) Company Policies
- 19) ERP
- 20) Contracts Management
- 21) IPR and other Laws
- 22) Lean
- 23) Excellence in Production & Operations Management
- 24) Mentoring
- 25) Programme Development
- 26) Reliability Engineering
- 27) Methods & Tooling
- 28) IMM for non-IMM
- 29) Software Tools (MS Projects, Advance MS Excel, Miniab)
- 30) Certification Program in Finance
- 31) Managing Cost Centers and Profit Centers
- 32) Business Ethics
- 33) Business Development and Management
- 34) Others

PART – I > FOR USE OF HRD CELL

Check List:

- a) Have all the relevant columns of the report been filled? : Yes / No
 - b) Any other Remarks on the report : Yes / No
 - c) Feedback, if any, to be communicated to the Appraisee : Yes / No
- If yes, date of communication of Feedback :

Name:	Signature:
Designation:	Date:

Note: i) To be checked and signed by the officer in-charge of the HRD Cell of the Division / Office.

Annexure-III
CONFIDENTIAL

HINDUSTAN AERONAUTICS LIMITED
_____ **DIVISION / OFFICE**

PHOTO

PERFORMANCE APPRAISAL REPORT
(For officers in Grade V & VI)

ANNUAL

PROB.

For the Period : From _____ To _____

NAME : DESIGNATION: GRADE : DEPARTMENT:	EDUCATIONAL QUALIFICATIONS :
	LEARNING AND DEVELOPMENT AND CERTIFICATION PROGRAMMES ACQUIRED, IF ANY
DATE OF BIRTH :	DATE OF APPOINTMENT TO PRESENT GRADE :
DATE OF SUPERANNUATION:	

PROPERTY RETURN FOR THE YEAR ENDING _____ SUBMITTED : YES / NO
--

TRAINING COURSES ATTENDED DURING THE LAST 5 YEARS				
	COURSES	INSTITUTION	FROM	TO
a) WITHIN INDIA				
b) ABROAD				

CAREER GROWTH IN HAL

SL NO	PERIOD		DESIGNATION	GRADE	DIVISION / OFFICE	DEPT	SHOP / SECTION
	FROM	TO					

(Signature of Officer from HRD cell)

(Signature of Appraisee)

B.3 What in your opinion are your areas of strength ?

--

Name :

Designation :

Signature :

Note : While filling in the form, the Officer is requested to be brief and specific. Highlight achievements in the context of Annual Tasks only. Routine / Normal Tasks carried out need not be mentioned.

B.4 COMMENTS ON SELF APPRAISAL

Initiating Authority	Reviewing Authority

B.5 “INTEGRITY” of the Appraisee (Tick)

	Above Board	Open to doubt	If open to doubt, a secret note should be enclosed
IA			
RA			

PART—C > C.1 ASSESSMENT OF TRAITS

Grade of the Appraiser	Initiating Authority	Reviewing Authority
Grade – V / VI	Minimum Grade VII or above	Minimum Grade VIII or above

Note: While the levels of the IA & RA, in general, should be as above, if the Appraiser is reporting to Officers at lower levels, the IA & RA can be in lower Grades also.

ATTRIBUTES AND THEIR DESCRIPTION	MAXIMUM MARKS	INITIATING AUTHORITY	REVIEWING AUTHORITY
1. Performance : Based on the marks scored against Quarterly Tasks (Part A)	70		
2. Professional Competence : Functional, managerial ability / and attitude in application of job knowledge to set perspective plan and fulfillment of the same with optimum use of resources.	5		
3. Quality Consciousness: General excellence of the work / job executed. Efforts to achieve quality improvement plan strive for higher standards.	5		
4. Cost & Time Consciousness: Utilization of resources effectively, ensuring required tolerance / quality within optimum time and minimum cost.	5		
5. Developing Subordinates: Ability to interact, guide, counsel and nurture subordinates with a view not only to help them to perform their present job effectively but also to groom them for meeting greater responsibility / challenge.	5		
6. Team Building: Ability to interact, command & influence people with a view to have cohesiveness amongst them to ensure thrust in the direction of achievement of targets.	5		

7. Potential to Shoulder higher responsibilities: Ability to take up higher level responsibility and set pace for the team members towards goal achievement.	5		
	100		

Note: If there is variation in Marks awarded between the IA and the RA against 'performance' at part C.1.1 above, the RA should indicate justification for such variation also at column C.1.1.

C.2 SCALE OF GRADATION:

TOTAL MARKS	100-90	89-80	79-70	BELOW 50
PERFORMANCE RATING	Exceptional	Above Average	Average	Below Average

Part—D > QUALITATIVE ASSESSMENT OF THE APPRAISEE (PEN PICTURE)

The IA and RA to comment on

- The appraisee's attitude towards his work, his colleagues, superiors and subordinates.
- His general demeanour, security consciousness, his sociability and co-curricular activities.
- His reaction to the feedback on the areas of improvements, and improvements, if any shown by him
- Any other comments.

INITIATING AUTHORITY	REVIEWING AUTHORITY

Part-E GENERAL ASSESSMENT AND MANAGEMENT REVIEW CATEGORISATION

ASSESSMENT AUTHORITIES	STRENGTHS	AREAS REQUIRING IMPROVEMENTS	MANAGEMENT REVIEW CATEGORISATION (Ref.Note)
INITIATING AUTHORITY			
REVIEWING AUTHORITY			

Note: Cat - A: An officer who has high degree of potential for advancement.

Cat - B: An officer who has potential for limited advancement.

Cat - C: An officer who has no potential for advancement.

Part - F > TRAINING / DEVELOPMENTAL NEEDS

ASSESSMENT AUTHORITY	EXPERIENCE / JOB ROTATION (Indicate area)	TRAINING / DEVELOPMENTAL NEEDS (indicate area)
INITIATING AUTHORITY		

REVIEWING AUTHORITY		
--------------------------------	--	--

Signature of IA: Name: Designation / Grade: Department	Signature of RA: Name: Designation/ Grade: Department:
---	---

Part – G > REMARKS OF HIGHER AUTHORITIES

G.1 Remarks of General Manager: (In case he is not IA / RA)

Name:	Signature:

G.2 Remarks of Functional Director (In case of HODs of Functional Departments namely HR, Finance, IMM) (In case he is not IA / RA)

Name:	Signature:

G.3 EVALUTION BY PERFORMANCE REVIEW BOARD

(In case of Annual Reports only. To be recorded by the Secretary of the Performance Review Board. PRB to consult IA / RA, Wherever necessary, if they are not the members PRB, before awarding Final Marks / Performance Rating. Final Marks / performance Rating to be awarded based on the scale of Gradation at item C.2)

FINAL MARKS / PERFORMANCE RATING:	
SECRETARY: SIGNATURE: NAME: DATE:	CHAIRMAN OF PRB (Divisional Head): SIGNATURE: NAME: DATE:

G.4 a) Remarks of Managing Director / Functional Director (In case he is not IA / RA)

b) Remarks of Chairman in case of Officers of Vigilance Department (In case he is not RA)

Name:	Signature:

PART—H > ILLUSTRATIVE LIST OF AREAS FOR TRAINING

- 1) General Management
- 2) Quality Management / Quality Control
- 3) Production Planning and Control
- 4) Computers
- 5) Materials Management
- 6) Functional Areas
- 7) Interpersonal relationship
- 8) Communication skills
- 9) Advanced Management Programme
- 10) Organisational Development Programme
- 11) Project Management
- 12) Presentation Skills
- 13) Negotiation Skills
- 14) Counseling skill
- 15) Senior Executive Programme

- 16) Finance Management
- 17) Negotiation & Contracts Administration
- 18) Company Policies
- 19) ERP
- 20) Contracts Management
- 21) IPR and other Laws
- 22) Lean
- 23) Excellence in Production & Operations Management
- 24) Mentoring
- 25) Programme Development
- 26) Reliability Engineering
- 27) Methods & Tooling
- 28) IMM for non-IMM
- 29) Software Tools (MS Projects, Advance MS Excel, Miniab)
- 30) Certification Program in Finance
- 31) Managing Cost Centers and Profit Centers
- 32) Business Ethics
- 33) Business Development and Management
- 34) Others

PART—I FOR USE OF HRD CELL

Check List:

- a) Have all the relevant columns of the report been filled? : Yes / No
 - b) Any other Remarks on the report : Yes / No
 - c) Feedback, if any, to be communicated to the Appraisee : Yes / No
- If yes, date of communication of Feedback :

Name:	Signature:
Designation:	Date:

Note: i) To be checked and signed by the officer in-charge of the HRD Cell of the Division / Office

**Annexure-IV
CONFIDENTIAL**

HINDUSTAN AERONAUTICS LIMITED
_____ **DIVISION / OFFICE**

PHOTO

PERFORMANCE APPRAISAL REPORT
(For officers in Grade VII & VIII)

ANNUAL

PROBATION

I/II

For the Period : From _____ To _____

NAME : DESIGNATION: GRADE : DEPARTMENT:	EDUCATIONAL QUALIFICATIONS :
	LEARNING AND DEVELOPMENT AND CERTIFICATION PROGRAMMES ACQUIRED, IF ANY
DATE OF BIRTH :	DATE OF APPOINTMENT TO PRESENT GRADE :
DATE OF SUPERANNUATION:	

PROPERTY RETURN FOR THE YEAR ENDING _____ SUBMITTED : YES /
NO

TRAINING COURSES ATTENDED DURING THE LAST 5 YEARS				
	COURSES	INSTITUTION	FROM	TO
a) WITHIN INDIA				
b) ABROAD				

CAREER GROWTH IN HAL

SL N O	PERIOD		DESIGNATION	GRAD E	DIVISION / OFFICE	DEPAR TMENT	SHOP / SECTION
	FROM	TO					

(Signature of Officer from HRD cell)

(Signature of Appraisee)

PART – A > SUMMARY OF ACHIEVEMENTS OF QUARTERLY TASKS

- Task Setting and Assessment to be done after joint discussion between the Appraiser and the Initiating Authority, in the prescribed Format. Task Setting and Assessment Sheets of all the four Quarters are to be enclosed to the PAR of the Appraiser.

Summary of achievements against Quarterly Tasks as indicated in the “Quarterly Task Setting & Assessment Sheet” of each Quarter.

QUARTER	MAXIMUM MARKS	MARKS SCORED
I	100	
II	100	
III	100	
IV	100	
AVERAGE SCORE	100	

PART – B SELF APPRAISAL (Appraiser should fill up this part and submit to IA at the end of the Assessment Year)

B.1 What would you consider as your most significant contribution (s) in the year under Review?

B.2 What in your opinion needs to be done (by way of Training or job Rotation) To further improve your level of effectiveness on the job?

B.3 What in your opinion are your areas of strength ?

--

Name :

Designation :

Signature :

Note : While filling in the form, the Officer is requested to be brief and specific.
 Highlight achievements in the context of Annual Tasks only.
 Routine / Normal Tasks carried out need not be mentioned.

B.4 COMMENTS ON SELF APPRAISAL

Initiating Authority	Reviewing Authority

B.5 “INTEGRITY” of the Appraisee (Tick)

	Above Board	Open to doubt	If open to doubt, a secret note should be enclosed
IA			
RA			

PART—C > C.1 ASSESSMENT OF TRAITS

Grade of the Appraiser	Initiating Authority	Reviewing Authority
Grade – V / VI	Minimum Grade VII or above	Minimum Grade VIII or above

Note: While the levels of the IA & RA, in general, should be as above, if the Appraiser is reporting to Officers at lower levels, the IA & RA can be in lower Grades also.

ATTRIBUTES AND THEIR DESCRIPTION	MAXIMUM MARKS	INITIATING AUTHORITY	REVIEWING AUTHORITY
1. Performance : Based on the marks scored against Quarterly Tasks (Part A)	60		
2. Professional Competence : Functional, managerial ability / and attitude in application of job knowledge to set perspective plan and fulfillment of the same with optimum use of resources.	5		
3. Quality Consciousness: General excellence of the work / job executed. Efforts to achieve quality improvement plan strive for higher standards.	5		
4. Cost & Time Consciousness: Utilization of resources effectively, ensuring required tolerance / quality within optimum time and minimum cost.	5		
5. Customer Satisfaction: Ability to fulfill the needs of both internal & external customers of his position.	5		
6. Time Management: Productive and effective use of available time.	5		
7. Developing Subordinates: Ability to interact, guide, counsel and nurture subordinates with a view not only to help them to perform their present job effectively but also to groom them for meeting greater responsibility / challenge.	5		
8. Team Building: Ability to interact, command & influence people with a view to have cohesiveness amongst them to ensure thrust in the direction of achievement of targets.	5		
9. Potential to Shoulder higher responsibilities: Ability to take up higher level responsibility and set pace for the team members towards goal achievement.	5		

	100		
--	------------	--	--

Note: If there is variation in Marks awarded between the IA and the RA against 'performance' at part C.1.1 above, the RA should indicate justification for such variation also at column C.1.1.

C.2 SCALE OF GRADATION:

TOTAL MARKS	100-90	89-80	79-70	BELOW 50
PERFORMANCE RATING	Exceptional	Above Average	Average	Below Average

Part—D > QUALITATIVE ASSESSMENT OF THE APPRAISEE (PEN PICTURE)

The IA and RA to comment on

- The appraisee's attitude towards his work, his colleagues, superiors and subordinates.
- His general demeanour, security consciousness, his sociability and co-curricular activities.
- His reaction to the feedback on the areas of improvements, and improvements, if any shown by him
- Any other comments.

INITIATING AUTHORITY	REVIEWING AUTHORITY

Part-E GENERAL ASSESSMENT AND MANAGEMENT REVIEW CATEGORISATION

ASSESSMENT AUTHORITIES	STRENGTHS	AREAS REQUIRING IMPROVEMENTS	MANAGEMENT REVIEW CATEGORISATION (Ref.Note)

INITIATING AUTHORITY			
REVIEWING AUTHORITY			

Note: Cat - A: An officer who has high degree of potential for advancement.

Cat - B: An officer who has potential for limited advancement.

Cat - C: An officer who has no potential for advancement.

Part - F > TRAINING / DEVELOPMENTAL NEEDS

ASSESSMENT AUTHORITY	EXPERIENCE / JOB ROTATION (Indicate area)	TRAINING / DEVELOPMENTAL NEEDS (indicate area)
INITIATING AUTHORITY		

REVIEWING AUTHORITY		
--------------------------------	--	--

Signature of IA: Name: Designation / Grade: Department	Signature of RA: Name: Designation/ Grade: Department:
---	---

Part – G > REMARKS OF HIGHER AUTHORITIES

G.1 Remarks of Functional Director (In case of HODs of Functional Departments namely HR, Finance, IMM) (In case he is not IA / RA)

Name:	Signature:

G.2 Remarks of Managing Director / Functional Director (If not IA/RA)

Name:	Signature:

G.3 EVALUTION BY PERFORMANCE REVIEW BOARD

(In case of Annual Reports only. To be recorded by the Secretary of the Performance Review Board. PRB to consult IA / RA, Wherever necessary, if they are not the members PRB, before awarding Final Marks / Performance Rating. Final Marks / performance Rating to be awarded based on the scale of Gradation at item C.2)

FINAL MARKS / PERFORMANCE RATING:	
SECRETARY: SIGNATURE: NAME: DATE:	CHAIRMAN OF PRB (Divisional Head): SIGNATURE: NAME: DATE:

G.4 Remarks of Chairman (If not IA / RA)

Name:	Signature:

PART—H > ILLUSTRATIVE LIST OF AREAS FOR TRAINING

- 1) General Management
- 2) Quality Management / Quality Control
- 3) Production Planning and Control
- 4) Computers
- 5) Materials Management
- 6) Functional Areas
- 7) Interpersonal relationship
- 8) Communication skills
- 9) Advanced Management Programme
- 10) Organisational Development Programme
- 11) Project Management
- 12) Presentation Skills
- 13) Negotiation Skills
- 14) Counseling skill
- 15) Senior Executive Programme
- 16) Finance Management
- 17) Negotiation & Contracts Administration

- 18) Company Policies
- 19) ERP
- 20) Contracts Management
- 21) IPR and other Laws
- 22) Lean
- 23) Excellence in Production & Operations Management
- 24) Mentoring
- 25) Programme Development
- 26) Reliability Engineering
- 27) Methods & Tooling
- 28) IMM for non-IMM
- 29) Software Tools (MS Projects, Advance MS Excel, Miniab)
- 30) Certification Program in Finance
- 31) Managing Cost Centers and Profit Centers
- 32) Business Ethics
- 33) Business Development and Management
- 34) Others

PART—I > FOR USE OF HRD CELL

Check List:

- a) Have all the relevant columns of the report been filled : Yes / No
 - b) Any other Remarks on the report : Yes / No
 - c) Feedback, if any, to be communicated to the Appraise : Yes / No
- If yes, date of communication of Feedback :

Name:	Signature:
Designation:	Date:

Note: i) To be checked and signed by the officer in-charge of the HRD Cell of the Division / Office

Annexure-V

-----Division / Office / R&D Center
MUTUALLY AGREED TASKS (MAT)
FOR THE YEAR -----
---- QUARTER (From ----- to -----)

PB No :	Name :
Dept :	Dept Name :

Sl.No	Tasks	Weightage %	Target Date	Achievement	PI %	Score
Composite Score:						

(At the time of task setting)

Name:
 Designation:
 Date:

Name:
 Designation:
 Date:

(At the time of assessment)

Name:
 Designation:
 Date:

Name:
 Designation:
 Date:

Help Matrix for awarding Marks out of 5 from Trait No.2 onwards :

For LEVEL – I – Grade I / II

Traits	Marks Scored				
	5	4	3	2	1
Job Knowledge : Extent of Theoretical knowledge & practical know-how as related to Assigned Tasks ; Related / allied jobs & knowledge of current development in his own field.	Has excellent knowledge in theoretical as well as practical aspects of defined areas	Has good knowledge and updates regularly	Has adequate job knowledge	Has reasonable job knowledge	Has little or no job knowledge
Quality of Work : General excellence of output, methods and systems.	Consistently maintains highest level of quality in all areas of work	Always maintains good level of quality in all areas of work	Maintains adequate level of quality in all areas of work	Maintains reasonable level of quality in all areas of work	Unsatisfactory level of quality of work
Man Management : Ability to ensure optimum utilisation of man power towards target fulfilment	Has excellent ability to inspire and motivate people to get the best out of them	Has good ability to carry people along with him to achieve results	Has adequate ability to manage people at work	Has reasonable ability to manage people at work	Lacks ability to manage people at work
Punctuality & Attendance : General discipline in adhering to work timing and attendance	Extremely good at adhering to work timing and regularity	Shows good adherence to work timing and regularity	Shows adequate adherence to work timing and regularity	Shows reasonable adherence to work timing and regularity	Does not adhere to work timing and is irregular

LEVEL – II for Grade III / IV

Traits	Marks Scored				
	5	4	3	2	1
Job Knowledge: Extent of Theoretical knowledge & practical know-how as related to Assigned Tasks; Related / allied jobs & knowledge of current development in his own field.	Has excellent knowledge in theoretical as well as practical aspects of defined areas	Has good knowledge and updates regularly	Has adequate job knowledge	Has reasonable job knowledge	Has little or no job knowledge
Planning & Coordination : Ability to meticulously plan his job and effectively coordinate with his team members in achievement of common organisational goals	Has excellent planning and coordinating ability	Has good Planning and coordinating ability	Has adequate Planning and coordinating ability	Has reasonable Planning and coordinating ability	Lacks Planning and coordinating ability
Quality of Work: General excellence of output, methods and systems.	Consistently maintains highest level of quality in all areas of work	Always maintains good level of quality in all areas of work	Maintains adequate level of quality in all areas of work	Maintains reasonable level of quality in all areas of work	Unsatisfactory level of quality of work
Developing Subordinates : Ability to interact, guide counsel and nurture subordinates with a view not only to help them to perform their present job effectively but also to groom them for meeting	Exremely successful in helping and training his subordinates to assume higher responsibilities	Good in identifying subordinates capacities and training them for assuming higher responsibility	Adequate ability to develop subordinates	Makes an attempt to develop subordinates	Lacks ability to develop subordinates

greater responsibility / challenge					
Potential to shoulder Higher responsibilities : Ability to take up higher level responsibility and set pace for the team members towards goal achievement.	Always prepared to shoulder higher responsibilities	Very often prepared to shoulder higher responsibility	Often prepared to shoulder higher responsibilities	Sometimes prepared to shoulder higher responsibilities	Never prepared to shoulder higher responsibilities

LEVEL – III for Grade V / VI

Traits	Marks Scored				
	5	4	3	2	1
Professional Competence : Functional, managerial ability / and attitude in application of job knowledge to set perspective plan and fulfillment of the same with optimum use of resources	Has excellent professional competence	Professionally quite competent	Has adequate professional competence	Has reasonable professional competence	Professionally incompetent
Quality Consciousness : General excellence of the work / job executed. Efforts to achieve quality improvement plan strive for higher standards	Consistently maintains highest level of quality in all areas of work	Always maintains good level of quality in all areas of work	Maintains adequate level of quality in all areas of work	Maintains reasonable level of quality in all areas of work	Unsatisfactory level of quality of work
Cost and Time Consciousness : Utilisation of resources effectively, ensuring required tolerance / quality within optimum time and minimum costs.	Has an exceptional ability to manage cost and time	Good at maintaining cost and time	Adequate ability to maintain cost and time	Reasonable ability to maintain cost and time	Lacks ability to maintain cost and time
Developing Subordinates : Ability to interact, guide counsel and nurture subordinates with a view not only to help them to perform their present job effectively but also to groom	Extremely successful in helping and training his subordinates to assume higher responsibilities	Good in identifying subordinates capacities and training them for assuming higher responsibilities	Adequate ability to develop subordinates	Makes an attempt to develop subordinates	Lacks ability to develop subordinates

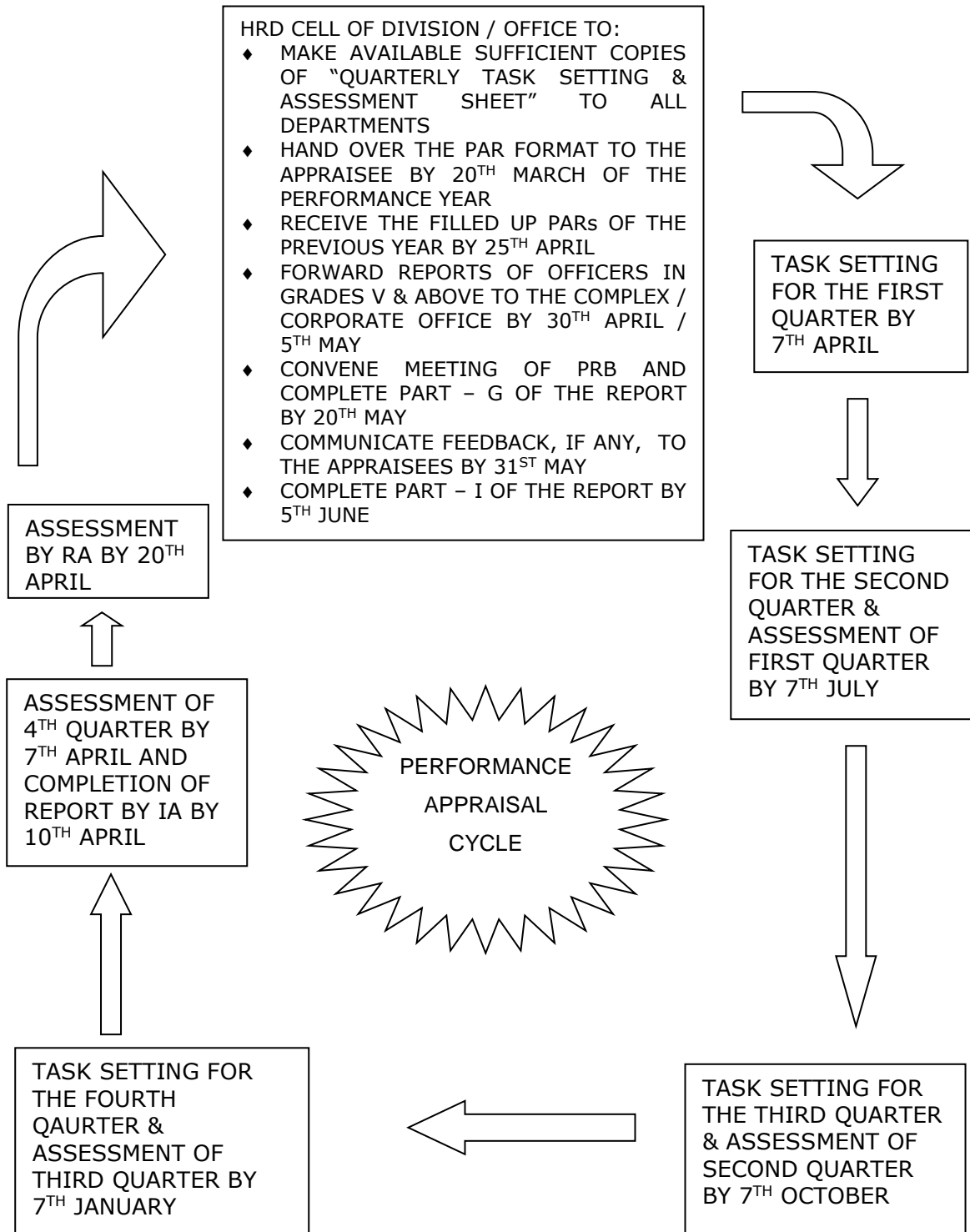
them for meeting greater responsibility / challenge		bilities			
Team Building : Ability to interact, command & influence people with a view to have cohesiveness amongst them to ensure thrust in the direction of achievement of targets	An excellent team builder and leads the team towards fulfillment of targets	Good ability to build an effective team	Adequate ability to build a team	Reasonable ability to build a team	Lacks ability to build a team
Potential to shoulder Higher responsibilities : Ability to take up higher level responsibility and set pace for the team members towards goal achievement.	Always prepared to shoulder higher responsibilities	Very often prepared to shoulder higher responsibilities	Often prepared to shoulder higher responsibilities	Sometimes prepared to shoulder higher responsibilities	Never prepared to shoulder higher responsibilities

LEVEL – IV for Grade VII / VIII

Traits	Marks Scored				
	5	4	3	2	1
Professional Competence : Functional, managerial ability / and attitude in application of job knowledge to set perspective plan and fulfillment of the same with optimum use of resources	Has excellent professional competence	Professionally quite competent	Has adequate professional competence	Has reasonable professional competence	Professionally incompetent
Quality Consciousness : General excellence of the work / job executed. Efforts to achieve quality improvement plan strive for higher standards	Consistently maintains highest level of quality in all areas of work	Always maintains good level of quality in all areas of work	Maintains adequate level of quality in all areas of work	Maintains reasonable level of quality in all areas of work	Unsatisfactory level of quality of work
Cost and Time Consciousness : Utilisation of resources effectively, ensuring required tolerance / quality within optimum time and minimum costs.	Has an exceptional ability to manage cost and time	Good at maintaining cost and time	Adequate ability to maintain cost and time	Reasonable ability to maintain cost and time	Lacks ability to maintain cost and time
Customer Satisfaction : Ability to fulfill the needs of both internal & external customers of his position	Has excellent ability to satisfy the needs of the customer	Good in satisfying the needs of the customers	Adequate ability to satisfy the needs of the customers	Reasonable at satisfying the needs of the customer	Lacks ability to satisfy the needs of the customer
Time Management : Productive and effective use of available time	Exceptionally good in time management	Good in time management	Reasonably good in time management	Fairly does the time management	Does not plan time management

<p>Developing Subordinates : Ability to interact, guide, counsel and nurture subordinates with a view not only to help them to perform their present job effectively but also to groom them for meeting greater responsibility / challenge</p>	<p>Exremely successful in helping and training his subordinates to assume higher responsibilities</p>	<p>Good in identifying subordinates capable and training them for assuming higher responsibilities</p>	<p>Adequate ability to develop subordinates</p>	<p>Makes an attempt to develop subordinates</p>	<p>Lacks ability to develop subordinates</p>
<p>Team Building : Ability to interact, command & influence people with a view to have cohesiveness amongst them to ensure thrust in the direction of achievement of targets</p>	<p>An excellent team builder and leads the team towards fulfillment of targets</p>	<p>Good ability to build an effective team</p>	<p>Adequate ability to build a team</p>	<p>Reasonable ability to build a team</p>	<p>Lacks ability to build a team</p>
<p>Potential to shoulder Higher responsibilities : Ability to take up higher level responsibility and set pace for the team members towards goal achievement.</p>	<p>Always prepared to shoulder higher responsibilities</p>	<p>Very often prepared to shoulder higher responsibilities</p>	<p>Often prepared to shoulder higher responsibilities</p>	<p>Sometimes prepared to shoulder higher responsibilities</p>	<p>Never prepared to shoulder higher responsibilities</p>

Annexure-VII



FORM

PERFORMANCE APPRAISAL REPORT OF THE CEOs, EXECUTIVE DIRECTORS (E9) AND GENERAL MANAGERS (E8) OF CENTRAL PUBLIC SECTOR ENTERPRISES (CPSEs)

For the year/period from ----- to -----

Each and every section of this form should be filled in by the concerned officer/authority after carefully reading the instructions attached to this form.

Section I - Basic information

(To be filled in by the Human Resource/Personnel/Administration Department of the CPSE)

**Recent
Photograph of
the officer
reported upon to
be affixed**

Personal Data of the officer reported upon

<p>1. Name of the Officer reported upon: _____</p> <p>2. Employee Number: _____</p> <p>3. Date of Birth: _____</p> <p>4. Brief Academic & Professional Qualifications : _____</p> <p>5. (a) Name of the Post held: _____</p> <p>(b) Grade of Post held: _____</p> <p>(c) Date of Continuous Appointment in this Post: _____</p> <p>(d) Present Pay and Scale of Pay: _____</p> <p>(e) Date of continuous Appointment in the same enterprise: _____</p>
--

6. (a) Date of First Public Enterprise Appointment: _____

(b) Scale of Pay of the Post on First Appointment: _____

7. Reporting, Reviewing and Accepting Authorities during the year

	Name & Designation	Period worked	
		from	to
Reporting Authority			
Reviewing Authority			
Accepting Authority			

8. Period of absence on leave, etc. during the year

	Period	Type	Remarks
On Leave other than Casual Leave			
Others (specify)			

9. Qualification acquired and Training programmes attended during the year:

(a) Details of Qualification acquired during the year

S. No.	Details of Qualification	Institution from which studied	Details of subjects studied and the marks obtained

(b) Details of Training programme attended during the year

Date from	Date to	Institute	Subject

10. Awards/Honours received during the year

11. Number of officers for whom PAR was not written by the officer reported upon as Reporting/Reviewing Authority for the previous year

12. Date of filing the property return in the prescribed format (Appendix – I) for the year ending 31st December, _____.

13. Date of last prescribed medical examination (for officers over 40 years of age). Please attach a copy of the summary of the medical report. (Suggested format of detailed and summary of the medical examination report is at (Appendix -II)

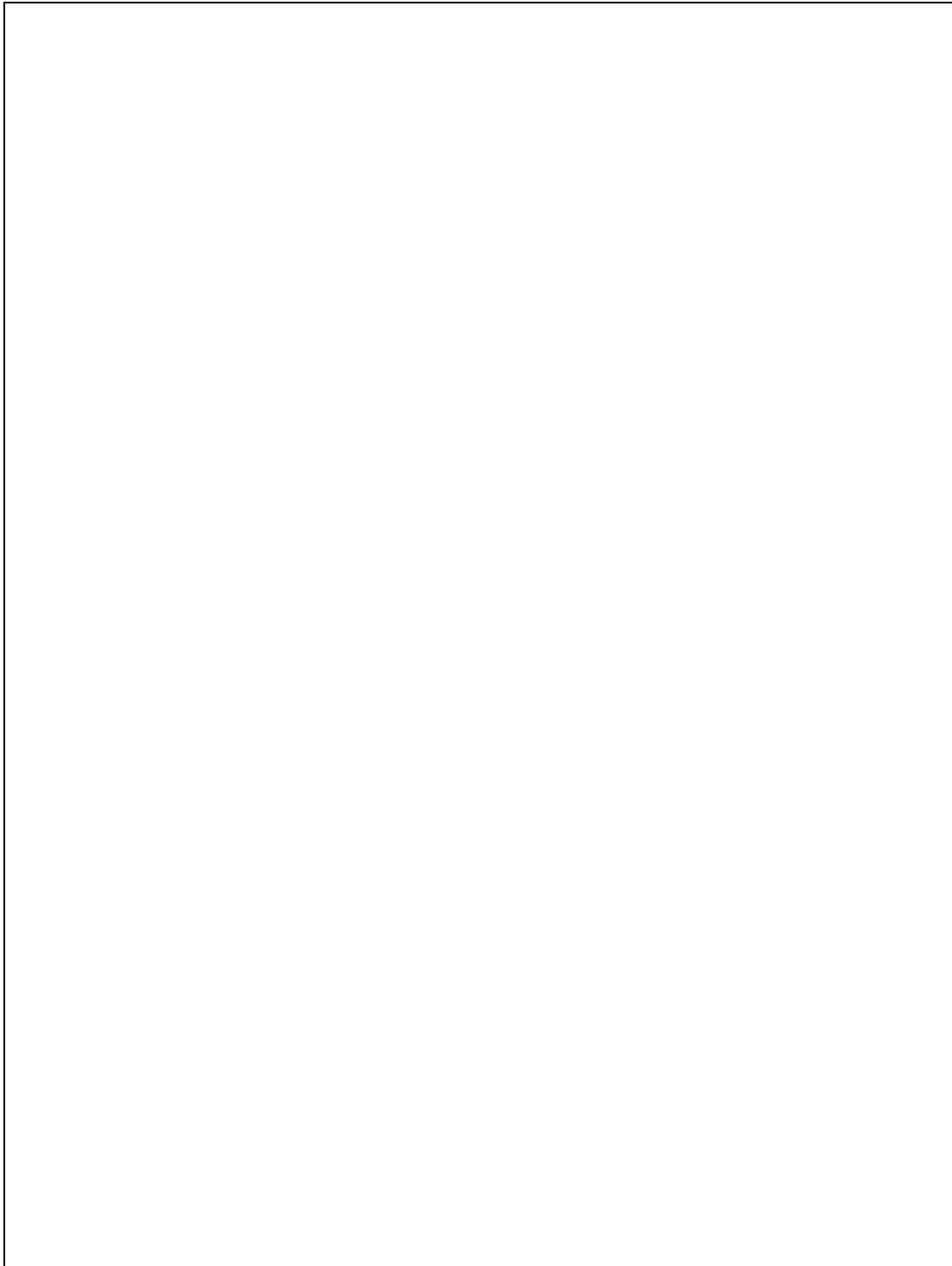
Signature:
Name & Designation of the officer of the
Human Resource/Personnel/Administration Department

Date:

Section II – Self-appraisal of the officer reported upon

1. Brief description of responsibilities:

(Objectives of the position you hold and the responsibilities you are required to discharge, in about 100 words)

A large, empty rectangular box with a thin black border, intended for the officer to write their self-appraisal response. The box is currently blank.

2. Annual work plan and achievement:

Tasks to be performed	Weightage	Deliverables ¹	Achievement ²
I - MOU Targets	* 3	-	* 4
Sub total of I			
II - Other key assigned tasks flowing from MOU			
i)			
ii)			
iii)			
iv)			
v)			
vi)			
vii)			
viii)			
ix)			
x)			
Total (i to x)			
III – Grand Total			

1. Deliverables refer to quantitative or financial targets or verbal description of expected outputs. The deliverables and the weights for individual key assigned tasks will be decided by the Reporting Authority after consulting the officer reported upon within fifteen days from the start of the period of report. The Reporting Authority shall send a copy of the details of the finally agreed key assigned tasks and their relative weights targets to the Nodal officer by 15th May.
2. Actual achievements refer to the achievements against the specified deliverables in respect of each task. No explanations for divergences are to be given in this table.
3. The weightage for MoU targets is 75 for Chief Executives, 40 for Functional Directors and 25 for Executive Directors/General Managers.
4. The final MoU score based on audited accounts conveyed by DPE should be filled in this space.
5. The total weightage for other assigned tasks flowing from MoU is nil for Chief Executive, 35 for Functional Directors and 50 for Executive Directors / General Managers.

3. During the period under report, do you believe that you have made any exceptional contribution, e.g. successful completion of an extraordinarily challenging task or major systemic improvement (resulting in significant benefits to the Company and/or reduction in time and costs)? If so, please give a verbal description (within 100 words):

4. What are the constraints that hindered your performance?

5. Please indicate specific areas of training that will add value to you:

For the current assignment:
For your future career:

Note:

Chief Executives and Functional Directors should send their updated CV, including additional qualifications acquired, training programmes attended, publications/special assignments undertaken to the Nodal officer of the CPSE as well as the Nodal officer of the Administrative Ministry once in 5 years so that updated records are available with them. However, the Executive Directors and General Managers should send such information once in 5 years to the nodal officer of the CPSE only.

6. Declaration

Have you filed your immovable property return in the prescribed format as due? If yes, please mention the date.	Yes/No	
Have you undergone the suggested medical check up?	Yes/No	
Have you set the annual work plan for all officers for the current year, in respect of whom you are the Reporting Authority?	Yes/No	

Signature of the officer reported upon

Date:

Section III - Appraisal of the Reporting Authority (Please read the relevant instructions attached to this form before filling up this section)

1. Please state whether you agree with the responses relating to the accomplishments of the work plan as filled out in Section II. If not, please furnish factual details.

2. Please comment on the claim (if any) made by the officer reported upon about his exceptional contribution.

3. Has the officer reported upon met with any significant shortfall in achieving the targets? If yes, please furnish factual details.

4. Do you agree with the constraints mentioned by the officer reported upon that had hindered his performance and, if so, to what extent?

5. Do you agree with the competency up-gradation needs as identified by the officer?

6. **Assessment of the achievements made against the targets.** (This assessment should rate the officer vis-à-vis his peers and not the general population. Grades should be assigned on a scale of 1-10, in maximum of 2 decimal numbers, with 10 referring to the best grade and 1 to the lowest grade. Weightage to this Section will be 75%).

Particulars	Weightage	Reporting Authority		Reviewing Authority		Initials of Reviewing Authority
		Absolute grade	Weighted grade	Absolute grade	Weighted grade	
	(a)	(b)	$(c = a \times b)/100$	(d)	$(e = a \times d)/10$	
I - MoU Targets	*5	*6				
1. MoU Task						
	(a)	(b)	$(c = a \times b)/10$	(d)	$(e = a \times d)/10$	
II - Other key assigned tasks						
i)						
ii)						
iii)						
iv)						
v)						
vi)						
vii)						
viii)						
ix)						
x)						
Total (i to x)	*7	-		-		
III – Grand Total II & III	75	-		-		

Weighted grade is to be computed by multiplying the absolute grade by the weights. Overall grading is to be computed by summing up the weighted grade and rounding off to 2 decimals.

- The weightage for MoU targets will be 75 for Chief Executives, 40 for Functional Directors and 25 for Executive Directors/General Managers.
- The final MoU score based on audited accounts conveyed by DPE should be filled in this space.
- The weightage for other key assigned targets will be nil for Chief Executives, 35 for Functional Directors and 50 for Executive Directors/General Managers.

7. Assessment of Personal Attributes and Functional Competencies (Grades should be assigned on a scale of 1-10, in maximum of 2 decimal numbers, with 10 referring to the best grade and 1 to the lowest grade. Weightage to this Section will be 25%)

Sl. No.	Particulars of Personal Attributes and Functional Competencies	Grade by Reporting Authority	Grade by Reviewing Authority	Initials of Reviewing Authority
i	Effective communication skills			
ii	Strategic orientation and Decision making ability			
iii	Problem solving and Analytical ability			
iv	Ability to develop and motivate team members			
v	Ability to coordinate and develop collaborative partnerships			
vi	Innovation and change orientation			
vii	Planning and Organising			
viii	Result orientation			
ix	Business Acumen			
x	Role based functional competency			
	Total (i to x)			
	Overall Grading of Personal Attributes and Functional competencies (Total/4)			

Note : All the personal attributes and functional competencies (S. No. i to x) carry equal weights. Overall grading is to be computed by dividing the total grade by 4 and rounding off to 2 decimals.

- a) Personal Attributes and Functional Competencies should be judged in the backdrop of Leadership ability to lead by example, particularly in challenging circumstances.
- b) Item.nos (iv) & (v) on the team work should be evaluated based on the ability of the incumbent to perform as a Member of a team and enhanced team performance.

8. Integrity (Please comment on the integrity of the officer reported upon by choosing any one of the following options):

i)	Beyond doubt	
ii)	Integrity of the officer is doubtful. A separate secret note is attached.	
iii)	Nothing adverse has been received about the officer	

9. Pen picture by Reporting Officer. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and those which need improvements. The pen picture should be consistent with the overall grade furnished in Item no. 10.

10. Overall grade (on a grade of 1-10) based on the grades awarded in Item no. 6 & 7. This should be computed by summing up the weighted average grade indicated in Item no. 6 and Item no. 7.

**Signature of Reporting Authority
Name & Designation of the Reporting Authority**

Date:

Section IV – Review by the Reviewing Authority (Please read the relevant instructions attached to this form before filling up this section)

1. Do you agree with the assessment made by the Reporting officer with respect to discharge of responsibilities and various attributes of the officer reported upon in Section III? (In case you agree with the assessments made by the Reporting Authority, please make a note to that effect in the space provided for you in Item No. 6 and 7 of Section III and initial it. If you do not agree with any of the numerical assessments made by the Reporting Authority, please record your assessments in the space provided for you in Item No.6 and 7 of Section III and initial your entries).

Yes / No

2. Do you agree with the assessment of the Reporting officer in respect of extraordinary achievements and/or significant shortfalls of the officer reported upon?

Yes / No

3. In case of difference of opinion, details and reasons for the same may be given.

4. Comments, if any, on the pen picture written by the Reporting Authority.

5. **Overall grade on a scale of 1-10**(*Grades should be assigned on a scale of 1-10, with 10 referring to the best grade and 1 to the lowest grade*). *The overall grade should be computed by summing up the weighted average grade obtained in Item No.6 and 7 of Section III.*

Signature of Reviewing Authority _____
Name & Designation of the Reviewing Authority

Date:

Section V – Acceptance by the Accepting Authority (Please read the relevant instructions attached to this form before filling up this section)

1. Is the overall grade given by the Reporting/Reviewing Authority is consistent with the pen picture given by them?

Yes / No

2. Do you agree with the remarks of the Reporting /Reviewing Authorities?

Yes / No

3. In case of difference of opinion, details thereof and reasons for the same may be given.

4. Overall grade on a grade of 1-10(*Grades should be assigned on a scale of 1-10, with 10 referring to the best grade and 1 to the lowest grade*).

**Signature of Accepting Authority
Name & Designation of the Accepting Authority**

Date:

Note:

The overall grade obtained by the Officer shall be benchmarked as under:

Outstanding : 90-100,
Very Good : Less than 90 to 70,
Good : Less than 70 to 50,
Fair : Less than 50 to 33,
Poor :Less than 33 to 0

Section VI – Review by the Acceptance Authority in the light of the representation received from the officer reported upon

1. **Whether the Accepting Authority considers any merit for revising the overall grade given earlier to the officer reported upon in the light of the representation made by him/her?**

Yes / No

2. **If Yes, please indicate the revised overall grade on a grade of 1-10** *(Grades should be assigned on a scale of 1-10, with 10 referring to the best grade and 1 to the lowest grade).*

**Signature of the Nodal officer
Name & Designation of the Nodal officer**

Date:

Note:

The concerned Nodal officer shall fill this section based on the orders passed by the Accepting Authority. Copies of the representation made by the officer reported upon and the orders of the Accepting Authority thereon are to be attached.

**HINDUSTAN AERONAUTICS LIMITED
____ DIVISION / OFFICE
PERFORMANCE APPRAISAL REPORT
(For Unskilled Workmen)**

ANNUAL For the Period: From _____ To _____ PROBATIO

NAME DESIGNATION SCALE DEPARTMENT	EDUCATIONAL QUALIFICATIONS: a) On joining HAL: b) Acquired during service:
DATE OF BIRTH:	DATE OF APPOINTMENT TO PRESENT SCALE:
DATE OF SUPERANNUATION:	

ASSESSMENT

Sl. No	TRAITS	Max. Marks	Initiating Authority (IA)	Reviewing Authority (RA)
1	Achievement of Task assigned	30		
2	Attendance & Punctuality	25		
3	Conduct & Discipline	20		
4	House Keeping	20		
5	Quality & Reliability	5		
Total		100		
Signature				
Name				
Designation / Grade				
Department				

SCALE OF GRADATION:

Total Marks	100-90	89-70	69 - 50	49-41	Below 40
Performance Rating	Exceptional	Very Good	Above Average	Average	Below Average

Signature of Sectional Head: Name: Designation / Grade: Department: Date:	Signature of Head of Department: Name: Designation / Grade: Department: Date:
---	---

**HINDUSTAN AERONAUTICS LIMITED

DIVISION / OFFICE
PERFORMANCE APPRAISAL REPORT
(For DIRECT Workmen)**

ANNUAL

PROBATION

For the Period: From _____ To _____

NAME DESIGNATION SCALE DEPARTMENT	EDUCATIONAL QUALIFICATIONS: a) On joining HAL: b) Acquired during service:
DATE OF BIRTH: DATE OF SUPERANNUATION:	DATE OF APPOINTMENT TO PRESENT SCALE:
TRAINING & DEVELOPMENTAL NEEDS: (in the opinion of the Employee)	Date : Signature of the employee

ASSESSMENT

N o.	TRAITS	Max. Marks	Initiating Authority (IA)	Reviewing Authority (RA)
1	Average Individual Incentive Efficiency	30		
2	Attendance & Punctuality	25		
3	Quality & Reliability	10		
4	Conduct & Discipline	10		
5	House Keeping	10		
6	Job Knowledge	10		
7	Any outstanding work done during the period (Suggestions / Innovations/ Initiative etc.)	5		
Total		100		
Signature				
Name				
Designation / Grade				
Department				

SCALE OF GRADATION:

Total Marks	100-90	89-70	69 - 50	49-41	Below 40
Performance Rating	Exceptional	Very Good	Above Average	Average	Below Average

GENERAL ASSESSMENT

	Sectional Head	Head of Department
Strengths		
Areas requiring improvements		
Training & Developmental Needs (needs indicated by the employee to be kept in view)		
Signature of Sectional Head: Name: Designation / Grade: -Department: Date:		Signature of Head of Department: Name: Designation / Grade: Department: Date:

CONFIDENTIAL

HINDUSTAN AERONAUTICS LIMITED
_____ DIVISION / OFFICE
PERFORMANCE APPRAISAL REPORT
(For INDIRECT Workmen - Technical & Non Technical Trades)

ANNUAL PROBATION

For the Period: From _____ To _____

NAME :	EDUCATIONAL QUALIFICATIONS: a) On joining HAL: b) Acquired during service:
DESIGNATION :	
SCALE :	
DEPARTMENT :	
DATE OF BIRTH:	DATE OF APPOINTMENT TO PRESENT SCALE:
DATE OF SUPERANNUATION:	
TRAINING & DEVELOPMENTAL NEEDS: (in the opinion of the Employee)	Date : Signature of the employee

ASSESSMENT

Sl. No.	TRAITS	Max. Marks	Initiating Authority (IA)	Reviewing Authority (RA)
1	Achievement of Tasks assigned	30		
2	Attendance & Punctuality	25		
3	Quality & Reliability	10		
4	Conduct & Discipline	10		
5	House Keeping	10		
6	Job Knowledge	10		
7	Any outstanding work done during the period (Suggestions / Innovations /	5		
Total		100		
Signature				
Name				
Designation / Grade				
Department				

SCALE OF GRADATION:

Total Marks	100-90	89-70	69 - 50	49-41	Below 40
Performance Rating	Exceptional	Very Good	Above Average	Average	Below Average

GENERAL ASSESSMENT

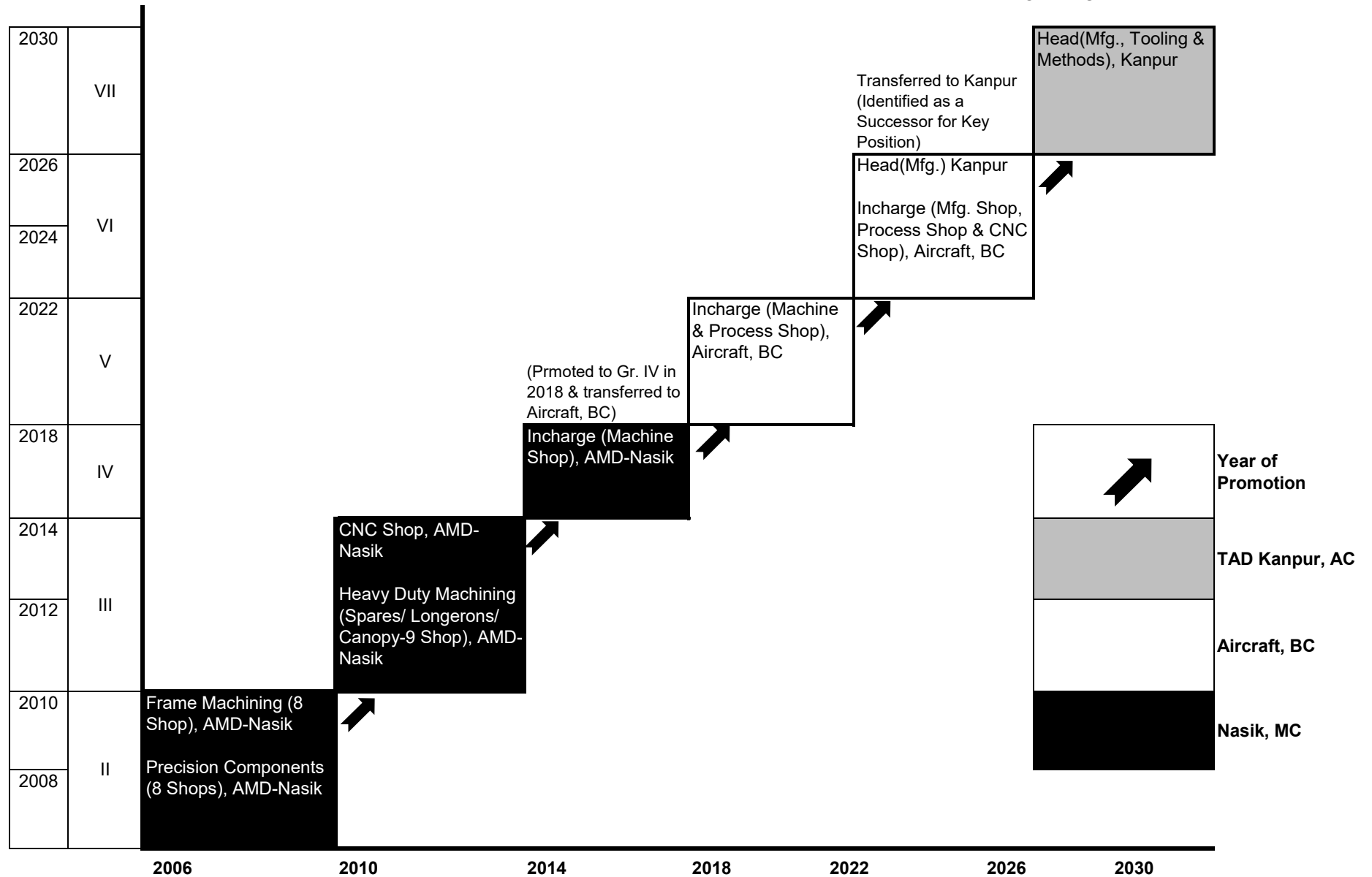
	Sectional Head	Head of Department
Strengths		
Areas requiring improvements		
Training & Developmental Needs (needs indicated by the employee to be kept in view)		
Signature of Sectional Head: Name: Designation / Grade: Department: Date:		Signature of Head of Department: Name: Designation / Grade: Department: Date:

ANNEXURE-XII

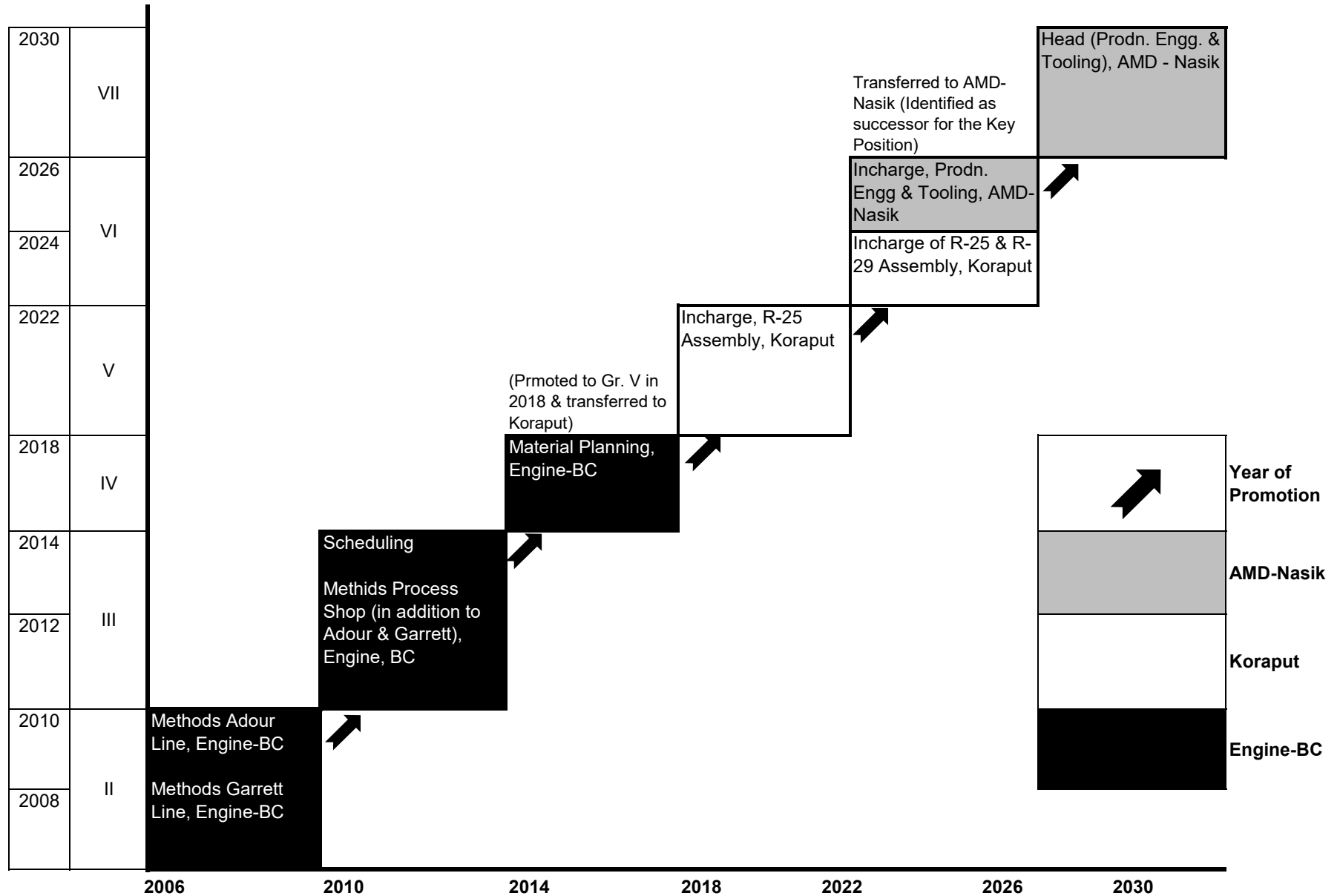
Sl. No.	Brief Description of Traits	Applicable in respect of
1	Achievement of Task assigned Level of accomplishment of assigned Tasks. IA to monitor Tasks assigned during the Appraisal Year so as to ascertain achievements.	Unskilled & Indirect Workmen
2	Average individual Incentive Efficiency IA must award Marks based on the average individual efficiency of the Workman.	Direct Workmen
3	Attendance and Punctuality General discipline in adhering to work timings and attendance. IA/RA should also take into consideration the number of days on which the Workman has been on LWP vis-à-vis total working days of the Division / Office during the Appraisal Year.	Unskilled, Direct & Indirect Workmen
4	Quality and Reliability General excellence of output, methods and systems. Efforts to achieve quality improvement plan to strive for higher standards. General excellence of the work executed. Efforts to achieve quality improvement plan to strive for higher standards.	Unskilled and Indirect Workmen Direct Workmen
5	Conduct and Discipline General Behavior, Conduct and Discipline at the workplace. IA/RA while awarding marks should consider issuance of charge sheet(s) / initiation of disciplinary action(s), punishments imposed etc., if any, against the workman.	Unskilled, Direct & Indirect Workmen
6	House Keeping Level of standards of house keeping at work place.	Unskilled, Direct & Indirect Workmen
7	Job Knowledge Extent of theoretical knowledge and practical know how as related to assigned tasks; related / allied jobs.	Direct and Indirect Workmen
8	Any outstanding Work done during the period (Suggestions / Innovations / Initiative etc.) Marks to be awarded based on the number of suggestions made etc.	Direct and Indirect Workmen

SNAPSHOT OF CAREER PLANNING PROFILE (JOB ROTATION & SUCCESSION)

TECHNICAL CORE DISCIPLINE



SNAPSHOT OF CAREER PLANNING PROFILE (JOB ROTATION & SUCCESSION)





APPLICATION FOR APPROVAL OF QUALITY HEAD

H.A.L
CORPORATE
QA DEPT

1.	Name of Division /R&D Centre		(Affix recent passport size photograph)	
2.	Applicant's Name			
3.	Designation			
4.	Qualification			
5.	Date of Birth			
6.	Date of Superannuation			
7.	<u>Date of Joining</u>			
	HAL	Current Division/ R&D Centre	QC Dept. of Current Division/ R&D Centre	
8.	<u>Details of Experience in HAL</u>			
	Period		Designation	Division / R&D Centre
	From	To		
9.	<u>Details of Approvals held (Attach evidence: Copy of approval card, letter etc.)</u>			
	DGAQA		DGCA	

10.	<u>Details of Quality/Quality Management System Training</u>			
	Description of Course/ Training	Institution	Period	
			From	To
11.	Details of Experience in Quality Department			
	From	To	Division / Department	Brief Description of Responsibilities
12.	Forwarded by Head of Division/R&D Centre			
	Signature			Name & Designation
	Date:			
13.	Recommendation of Head of Corporate Quality Assurance			
	Signature			Name & Designation
	Date:			

LIST OF IDENTIFIED CRITICAL POSITIONS IN GRADE – IX & ABOVE

SL NO.	Name of Positions
1	Chairman & Managing Director
2	Director (Operations)
3	Director (Engg. and R&D)
4	Director (HR)
5	Director (Finance)
6	CEO, Bangalore Complex (BC)
7	CEO, Accessories Complex (AC)
8	CEO, Helicopter Complex (HC)
9	CEO, MiG Complex (MC)
10	GM, Aircraft, BC
11	GM, LCA Tejas, BC
12	GM, Engines, BC
13	GM, Aerospace, BC
14	GM, Overhaul, BC
15	GM, Foundry & Forge, BC
16	GM, Facility Management Division, BC
17	GM, Helicopter, HC
18	GM, Helicopter MRO, HC
19	GM, Barrackpore, HC
20	GM, AOD, Nasik, MC
21	GM, AMD, Nasik, MC
22	GM, SED, Koraput, MC
23	GM, ED, Koraput, MC
24	GM, Accessories Division, Lucknow, AC
25	GM, TAD Kanpur, AC
26	GM, Avionics Division, Hyderabad, AC
27	GM, Avionics Division, Korwa , AC
28	GM, ARDC, Bangalore, DC
29	GM, RWR & DC, Bangalore, DC
30	GM, SLRDC, Hyderabad, DC
31	GM (Planning & Projects), CO
32	GM (Finance), CO
33	GM (Marketing), CO
34	GM (Human Resource), CO
35	GM (Customer Service), CO
36	GM (Quality assurance), CO
37	GM (Integrated Materials Management), CO
38	GM (Systems Audit), CO
39	Company Secretary (irrespective of the Grade the post is operated in)

LIST OF POSITIONS THAT CAN BE OPERATED AT THE LOWER LEVEL

SL NO.	Name of Positions
1	Chief of Medical Service (CoMS), Medical & Health, BC
2	Head, HAL Management Academy (HMA)
3	GM, IJT LPS, BC
4	GM, IMGAT, BC
5	Head, Airport Service Centre, BC
6	GM, Aerospace Composites Division, HC
7	GM, ASERDC, Lucknow, DC
8	GM, AERDC, DC
9	GM, MCSRDC, DC
10	GM, AURDC, Nasik, DC
11	GM, GTRDC, Koraput, DC
12	GM, ASERDC, Korwa, DC
13	GM, TARDC, Kanpur
14	GM (Joint Ventures), CO
15	GM (Management Services), CO
16	GM (Information Technology) , CO
17	GM (Flight Operations & Safety) , CO
18	GM (CSR & SD) , CO
19	GM (Business Development) , CO
20	GM (Indigenisation) , CO

Note: Other Departments at Corporate Office, Departments at Complex Offices viz. HR , Finance , etc. can be operated in the lower level

SCHEDULE OF TRAINING FOR MANAGEMENT TRAINEES/DESIGN TRAINEES

Assessment criteria & methodology-Modules at Division

1. OJT

The OJT phase is approximately for 24 weeks inclusive of the four weeks of in depth technical program at the Divisions on posting. In this phase, learning is a continuous process and exposes the trainee to the real time work. The learning is mainly achieved through observation and hands on work. The day to day work activities are monitored on following parameters,

- (a) Punctuality, integrity, sense of belonging & commitment to the department;
- (b) Accountability, sincerity to the assigned task/work;
- (c) Availability, dependability & reliability;
- (d) Working in a team;
- (e) The knowledge on functioning of trainee's department & associated Departments;
- (f) In depth Technical learning in the work area;
- (g) Giving and receiving feedback.

The trainee may maintain a learning diary that is to be reviewed and signed weekly by reporting officer, and once in four weeks by HOD. The feedback must be given objectively considering the overall development of the trainee as an individual and a team member. Job specific class oriented training may also be given as necessary during this phase. There must be adequate exposure to all other departments, their processes and quality systems. Mentor to be identified or may be assigned by HOD. (The guide lines are given at para 4.)

2. OJT Evaluation

The assessment is done by a board as follows

- (i) Board chairman: An officer of not less than grade VIII.
- (ii) Department Head
- (iii) Head of HR / Head of Training / Champion of Learning

The following will be present in the board for the respective trainees.

- (i) Board chairman: An officer of not less than grade VIII.
- (ii) Department Head
- (iii) Head of HR / Head of Training / Champion of Learning
- (iv) Mentor

The assessment is to be conducted prior to the end of the OJT phase and the report forwarded to the HMA. The board assesses for a maximum of 200 marks. This includes maximum 50 marks by Department Head's recommendation based on the factors at para 1 above.

The trainee is to be evaluated by the board based on the following:

- a) Knowledge on specific functional area assigned as well as awareness of activities of the department and the associated departments.
- b) General knowledge on the aircraft/helicopter/ engine associated with the Division/ program to which the trainee is assigned.
- c) Knowledge of any equipment used in his area of work.
- d) Knowledge and understanding of manufacturing and process standards and manual.
- e) Knowledge and understanding of Design drawings, standards and GD & T.
- f) Knowledge of inspection, testing, validation methodologies and instruments and their calibration.
- g) Understanding of modifications and amendment procedures.
- h) Knowledge of approval procedures associated with CEMILAC.
- i) Software knowledge that is applicable to work area and of IFS / ERP.
- j) Any other topics as necessary for Division/ Dept including anticipated projects.

3. Mentoring at Divisional Level

From the previous experience it is observed that Mentors are critical for the trainees to achieve their potential and desired learning impact. The trainees get their support from the department officer on technical learning, but there are behavioral gaps indicated in the managerial aspects/ personality. It is critical for the trainee's mental make up to grow positively and align with the organization through mentoring process. Following guidelines would help effective mentoring:

- (i) Assign the trainee to the Department where a mentor is assigned and effective.
 - (ii) Preferably the mentor be a senior person from the hierarchy of the department where the DT is assigned and closely associated.
 - (iii) If the mentoring is not found to be effective, trainee may be considered to be withdrawn from the department and assigned to another department.
 - (iv) Plan if possible to have GM interaction with the trainees at least once in a month.
 - (v) The lack of satisfactory performance against the OJT objectives (at para 1 above) should be brought up to the notice of the trainee atleast fortnightly and recorded.
 - (vi) During OJT, every month, parameters given at para 1 are to be assessed. A 'First Pen Picture' is to be created in the initial weeks of OJT by the officer to whom the trainee is assigned. A 'Progress Pen Picture' (with relation to first pen picture) on behavioral indicators is also to be made monthly and till the completion of OJT assessment. (Note: This report is not a copy at MAT as MAT defines the task only). The Pen Picture and the Progress Pen Picture to be forwarded to HMA.
4. The Project/IPW phase : During this phase the trainee is to be associated with a real time-bound project that has a quantifiable result. The trainee has

to submit the project report to the Dept officer/ HOD and a copy to HMA. The project is to be assessed by the board consisting of following members:

- a) HOD of the Trainee
- b) Head of HR / Head of Training.

The following will be present in the board for the respective trainees.

- a) HOD of the Trainee
- b) Officer to whom the trainee reports.
- c) Head of HR / Head of Training.

The board may award a maximum of 100 marks for the project done. The presentation assessment is to be conducted by the end of the IPW phase at Division.

5. Criteria/ Guide Lines of assessing the performance:

The trainee's contribution to the project work is primarily assessed along with his learning, involvement, dedication and ability to contribute as an individual. The technical knowledge acquired is also assessed. The trainee's capacity, initiative to work, ability to explore unknown areas to achieve the tasks within the date assigned and the potential to be a competent executive in grade II who could shoulder responsibility, is evaluated by the board.

6. The Final Evaluation (FE) is the last assessment of the trainee prior to his absorption. FE is to be carried out as per existing procedure in coordination between Division &HMA. Assessment of the overall performance is done taking cognizance of OJT and Project phases. Recommendation of the department officer/ Mentor on his attitudes and behavioral indicators during divisional phase /day to day work may also be considered.

7. The FE assessment board consists of the following members:

- a) ED / GM of the Division.
- b) Head of HMA / Senior Faculty
- c) HOD of the Trainee
- d) Head of HR
- e) Head of training / Champion of Learning

The following will be present during the assessment of respective trainees

- a) ED / GM of the Division.
- b) Head of HMA / Senior Faculty
- c) HOD of the Trainee
- d) Reporting Officer.
- e) Head of HR
- f) Head of training / Champion of Learning
- g) Mentor

(STAMP VALUE Rs. 200/-)

(*) THIS AGREEMENT made on the _____ Day of _____ Two Thousand and _____ amongst.

(*) (To be filled by Office only)

(i) Shri/Smt/Ms. _____ Son / Daughter of Shri _____ aged _____ years residing at _____

_____ (here-in-after called the Trainee) of the first part.

(ii) Shri/Smt/Ms. _____ Son / Daughter of Shri. _____ aged _____ years residing at _____

_____ (here- in- after called the SURETY) of the second part AND

The Hindustan Aeronautics Limited, a Company incorporated under the Companies Act, having its Registered Office at 15/1, Cubbon Road, Bangalore-560 001, (here-in-after called the COMPANY) of the third part.

WITNESSES AS FOLLOWS:

- I. WHEREAS the Company has a scheme for imparting Training in order to ensure the availability to the Company of adequate number of Engineers & Professionals possessing requisite qualification and specialized knowledge in different Disciplines.
- II. WHEREAS the Trainee herein has applied to the Company to admit him / her to the said training and agreed to abide by the provisions of the Training Scheme and terms and conditions herein contained.
- III. AND WHEREAS the Surety herein has, on the request of the Trainee, agreed to guarantee to the Company the due observance by the Trainee, of the terms and conditions of this Agreement and the Scheme.

IV. NOW THESE PRESENTS WITNESS AS FOLLOWS:

- (1) The Company hereby admits the Trainee for training under the Management / Design Trainee Scheme of fifty two (52) weeks in the Company subject to the terms and conditions and covenants herein contained.

1. The agreement shall deemed to have been commenced on _____

Trainee
(Roll No: _____)

Company

- (2) The duration of the training is fifty two (52) weeks provided however the Company shall be entitled to reduce or extend its terms or suspend it or cancel it altogether at any time without giving rise to liability in favour of the Trainee in consequence thereof.
- (3) The course of study, practical work, syllabus and all other matters relating to training shall be as prescribed and as may be modified by the Company from time to time in its discretion.
- (4) The places where the training course will be conducted are HAL Management Academy – Bangalore, external Institutions and the various Divisions of the Company for the time being. The Company shall however be entitled to change the venue or impart training at more than one place.
- (5) During the period of training, the trainee shall:
 - (a) reside in Hostel / Mess attached to the HAL Management Academy / Division or any other place decided by the Company and pay the prescribed charges thereof
 - (b) Wherever Hostel accommodation is not provided, the trainee has to make the own arrangements.
 - (c) duly observe the rules of conduct, attendance timings, dress regulations, discipline, hostel / mess regulations etc., as prescribed by the authority in charge of the training from time to time.
- (6) If the performance, conduct etc. of the trainee is not found to be satisfactory during the training period, he / she may be discharged by the Company with immediate effect.
- (7) During the period of training, the Company will;
 - (a) provide opportunity to the Trainee for acquiring such theoretical and practical knowledge as it may prescribe from time to time ;
 - (b) Pay a Basic Pay to Rs. 40,000 (Rupees Forty Thousand only) plus Variable Dearness Allowance in the Scale of Pay Rs. 40000-1,40,000. Besides this, House Rent Allowance / Bachelor Accommodation & other perks & allowances, performance related payment etc., would also admissible as per Company Rules.
- (8) During the course of the training / upon completion of the training, the Trainee shall undergo a written test and / or viva-voce, if required by the Company. The Trainee needs to successfully complete the training in order to attain the required level of proficiency during the training period of 52 weeks. The Trainee who do not complete the training successfully will be discharged by the company. In certain exceptional and unavoidable cases, the training period of the Trainee will be extended for a maximum period of 6 months. Such Trainees are required to complete the specific module and appear for the retest on completion of the extended period.

Trainee

Company

- (9) On completion of the prescribed 52 weeks training, the absorption of the trainee shall be subjected to one of the following:
- i) Secured more than 50% in all modules with overall 60 % marks:
 - Absorption in Grade II
 - ii) Secured more than 50% in all modules, but less than 60% overall marks:
 - Absorption in Grade I
 - iii) Fails in one module:
 - Extension of training by 6 months.
 - If the trainee passes the re-test with overall 60% marks, will be absorbed in Gr.II; otherwise the trainee can be considered for absorption in Gr.I based on recommendations Division / HMA.
 - iv) Fails in two modules:
 - Extension of training by 6 months.
 - If the trainee passes both the modules in the re-test with overall 60% marks, will be absorbed in Grade – II; otherwise, his training will be terminated. The trainee can also be considered for absorption in Grade – I, if the trainee passes 1 of the 2 modules with overall 60% marks during the re-test, based on recommendations of Division / HMA.
 - v) Fails in three or more modules:
 - Termination of training.
- (10) Upon successful completion of the training, the Trainee will be absorbed as a regular Officer in Grade II and shall be bound to serve the Company for a minimum period of five years. In case the Trainee completes the training successfully after the extended period, he / she shall serve the company for the minimum period of 5 years from the date of his / her absorption in Grade – II / Grade – I, as applicable.

(Explanation: In computing the term of five years, for which the Trainee is liable to serve as aforesaid, the period during which the trainee is on unauthorized absence, authorized leave without pay and study leave shall be excluded)

- (a) The decision whether the trainee is suitable for absorption in Grade-II shall vest with the Company ;
- (b) The post of Grade-II shall carry the pay scale of Rs. 40,000 – 1,40,000/- & the post of Grade –I shall carry the pay scale of Rs.30,000 – 1,20,000;
- (c) Upon absorption in Grade-II, the appointee shall be on probation for a period of one year during which his/her services may be terminated without notice. If he / she is not found suitable of his / her performance is not found satisfactory, after confirmation, his / her services may be terminated by the Company at any time by giving three months ' notice or pay in lieu or it;
- (d) The appointee shall be liable to transfer anywhere in India or outside and from one Division or Department to another and also liable to deputation from this Company to any other Company or establishment under the control of the Ministry of Defence, Government of India. No deputation allowance or other allowances shall be payable to the appointee by reason only of such transfer / deputation;

Trainee

Company

(V) The Trainee hereby agrees and covenants with the Company as follows:-

(i) during the said period of training, he / she shall :

a) apply himself / herself conscientiously and diligently and endeavour to acquire the theoretical and practical knowledge imparted to him / her during the training;

b) attend to practical and instructional classes regularly ;

c) carry out lawful orders of the Company, its officers and the instructors;

d) conceal and in no way reveal the secrets of the Company or its business which come to his /her knowledge during the course of his / her training ;

e) not commit or suffer any acts of waste or damage in relation to the Company or its property,

f) not take part in any disputes or disagreements between the Company and its workmen and refrain from participation in any strike or other agitations of workmen ;

g) observe the rules and regulations of the company applicable to trainees in the matter of conduct, discipline, attendance, hours of work, leave, holidays etc., and

h) in general abide by the terms and conditions of the scheme and carryout his / her obligations there under and under this agreement.

(ii) On successful completion of the training, he / she shall serve the Company for a minimum period of five years from the date on which he / she report himself / herself to duty for service in the post of Officer in Grade-II in accordance with clause IV(9) supra.

VI. If the trainee falls or neglects :

i) to undergo and complete the training satisfactorily; or

ii) to serve the Company for the full term of five years w.e.f the date of absorption in Grade –II, as undertaken by him / her; or

ii) otherwise commits a breach of any of the terms and conditions of the Training scheme or these presents, the Company shall be entitled:

a) to suspend or terminate his/her training / service as the case may be

b) to reimbursement from the trainee (including surety) of the cost of training subject to the following limits :

Trainee

Company

Amounts to be recovered

In case the Trainee abandons the Training before the completion of the period of training

The actual cost of training incurred(including recruitment expenses stipend & allowances paid) for the period of training undergone subject to a maximum of Rs.5,00,000/- (Rupees Five Lakhs Only)

In case the company discharge the Trainee either during the Training period or upon his unsuccessful completion of the training after 52 weeks / after the extended period of 6 months:

The actual cost of training incurred(including recruitment expenses, stipend & allowances paid) for the period of training / the extended period of training undergone subject to a maximum of Rs. 5,00,000/- (Rupees Five Lakhs Only). The amount of stipend etc. paid till actual date of termination will be reckoned as liability to the company.

If he / she leaves service before the expiry of one full year, from the date of appointment / absorption as a regular Officer in Gr II.

The actual training expenses incurred (including the recruitment expenses, stipend & allowances paid during the training period) subject to a maximum of Rs. 5,00,000/- (Rupees Five Lakhs Only).

- VII. The Surety herein covenant with the Company that the Trainee shall duly perform all his / her obligations towards the Company as per the Training Scheme and this Agreement and in the event of his / her failing or neglecting to do so, the Surety shall pay to the Company whatever is payable to the Company by the Trainee in that behalf in accordance with clause-VI.

The surety further covenants that at any time if the Company initiates legal actions to recover the bond amount or sues the Trainee in the matter of any of the trainee's obligations, the same shall not discharge the Surety from his/her obligations under these presents.

- VIII. All suits and legal proceedings pertaining to this Agreement or any matter howsoever arising out of or connected herewith shall be instituted and decided in Courts at Bangalore or in the Courts where Divisions / Offices of HAL are situated and the Trainee is posted for training / service and those Courts alone shall have jurisdiction and entertain or adjudicate thereon

Trainee

Company

IN WITNESS WHEREOF the parties herein have executed these presents.

TRAINEE

WITNESSES *

Signature _____ 1) Signature _____

Name _____ Name (Caps) _____

Address _____ Address _____

_____ 2)Signature _____

_____ Name (Caps) _____

_____ Address _____

SURETY (2 signatures of the Surety)

WITNESSES *

1) Signature _____ 1)Signature _____

Name _____ Name(Caps) _____

Address _____ Address _____

_____ 2) Signature _____

_____ Name (Caps) _____

_____ Address _____

Signature: _____

For HINDUSTAN AERONAUTICS LIMITED (To be signed by HAL Authorities)

WITNESSES *

1)Signature _____

Name (Caps) _____

Address _____

2) Signature _____

Name (Caps) _____

Address _____

* Give full name & address of Witnesses

FOR COMPANY

EXECUTIVE POST GRADUATE DIPLOMA IN AVIATION MANAGEMENT
(AICTE APPROVED)

PROGRAMME SYLLABUS

Module I	Total Duration of Module I	12 weeks
	Total No. of credits in Module I	22 Credits

Core Subjects

1. Introduction to Aerospace Industry **(2 credits)**
2. Principles and practices of Management **(2 credits)**
3. Aircraft Design **(2 credits)**
4. Aircraft manufacturing **(2 credits)**
5. Aircraft Maintenance, Repair & Overhaul **(2 credits)**
6. Aircraft Systems **(2 credits)**
7. Aircraft Production and Operations Management **(4 credits)**
8. Aviation Business and Law **(2 credits)**
9. Quantitative Techniques & Operations Research **(2 credits)**
10. Operational Excellence Lab **(2 credits)**

Module II	Total Duration of Module II	12 weeks
	Total No. of credits in Module II	20 Credits

Core Subjects

1. System Integration **(2 credits)**
2. Aviation Finance and Economics **(4 credits)**
3. Organisation Behavior and Human Resource Management **(4 credits)**
4. Project and Risk Management **(4 credits)**
5. Aviation Supply chain Management and logistics **(4 credits)**
6. Project Management Lab **(2 credits)**

Module III	Total Duration of Module III	10 weeks
	Total No. of credits in Module III	18 Credits

Core Subjects (12 Credits)

1. Aviation Quality & Regulatory Management **(4 credits)**
2. Research Methodologies and Report writing **(2 credits)**
3. Statistics and Data Analytics Lab **(2 credits)**
4. Principles of Marketing **(2 credits)**

Elective Subjects (6 credits)

5. (One elective from the list below)-**3 credits**

- a) Product development and pricing in aviation sector.
- b) Product promotion and brand building.
- c) Customer relationships and after sales support

6. (One elective from the list below)-**3 credits**

- a) Systems Engineering.
- b) Aerospace Technology Management & Forecasting.
- c) Health and Usage Monitoring Systems.

Module IV	Total Duration of Module IV	12 weeks
	Total No. of credits in Module IV	22 Credits

Elective Subjects

Section A: On the job Exposure (**12 Credits**)

(Three electives from the list below)

- a) Avionics and Communication Systems
- b) Aerospace Mechanical Systems
- c) Power plant and propulsion systems
- d) Aerospace structures
- e) Engineering Materials and Composites
- f) Methodising and Tooling
- g) Flight Testing and Validation
- h) Flight Hanger Management
- i) Inventory and Stores Management

Section B (**10 Credits**)

1. Aircraft Qualification and Certification (4 Credits)

- a) Military Airworthiness and Certification
OR
- b) Civil Airworthiness and certification (CAR21,CAR145, Aircraft Rules 1937)

2. Technology and Lifecycle Management (4 Credits)

- a) Design Life Cycle – From Customer Requirement to IOC
OR
- b) Life Cycle Management of Aviation Products(Performance Based Logistics)

3. Strategy and Corporate Governance (2 Credits)

- a) Strategy and Corporate Governance
OR
- b) Indian Ethos and Business Ethics

Module V	Total Duration of Module V	2 weeks
	Total No. of credits in Module V	4 Credits

Elective Subjects

1. International immersion (4 credits)

OR

Benchmarking of Aerospace industries (4 credits)

Module VI & VII	Total Duration of Module VI and VII	10 weeks
	Total No. of credits in Module VI and VII	16 Credits

Elective Subjects (10 Credits)**Section A: (4 Credits)**

(Two electives from the list below, paper to be presented)

- a) Airport and Airlines Management
- b) Flight Safety and Accident Investigation
- c) Air Traffic Control
- d) Ground Handling and Support Systems
- e) Reliability Engineering
- f) Six Sigma for Aviation Industry

Section B: (4 Credits)

(Two electives from the list below)

- a) Personal Effectiveness Lab
- b) Conflict and Negotiation Lab
- c) Transformational Leadership Lab
- d) Creativity and Innovation Lab
- e) IT in Aerospace Design Lab
- f) Enterprise Resource Planning Lab

Section C: (2 Credits)

- a) E-Learning

Project Work (6 Credits)

**EXECUTIVE POST GRADUATE DIPLOMA IN AVIATION MANAGEMENT
(AICTE APPROVED)**

PROGRAMME STRUCTURE

Module	Venue	Duration in weeks	No. of Credits	Board Coverage	No. of Core Credits	No. of Elective Credits
I	HMA	12	22	Introduction to Aerospace Field, Aerospace Technology Management. Core Subjects of Management with case studies related to Aerospace Industry	22	0
II	HMA	12	20	Core Subjects of Management and Technical Subjects	20	0
III	HMA	10	18	Core Subjects of Management with case studies related to Aerospace Industry	12	6
IV	HMA	12	22	'On the job Exposure' module wherein the executives would be given Aerospace Industry exposure at HAL Divisions (Design R&D Centres, Production Divisions, Flight Hanger, MRO Divisions related to Helicopters, Aircraft, Engines and Accessories). Management subjects (Continued)	0	22
V	International Institute	2	4	International Immersion – Visit to Aerospace related companies abroad (Optional) OR Benchmarking of Aviation Industry	0	4
VI	HMA/ Divisions	10	10	Elective Subjects (Continued)	0	10
			6	Project Work (Under the guidance of HAL).	--	--
VII		2		Examination, Assessment and Evaluation.	--	--
Total		60	102		54	42

*54 credits – core subjects, 42 credits – elective subjects, 6 credits - Project Work

REPORT OF EMPLOYEES DEPUTED FOR TRAINING DURING THE QUARTER ENDING

- ____

Sl. No	Name & Designation of the Employee (S/Shri)	Grade/ Scale/ Department	Division/ Office	Title of the Programme	Duration of the Programme	Name of the Institution (with full address)	Course Fee
Total Course Fee during the Quarter							

Note:

- (i) The Report should reach Corporate Office by 15th of the 1st month of the subsequent Quarter.
- (ii) If no Officers in the Division/Office has been nominated for any programme during the Quarter, Nil report is required to be forwarded.

Signature of the HR Head
Name
Date

**NOMINATION FORM FOR DEPUTING HAL PERSONNEL FOR TRAINING ABROAD
/ WITHIN INDIA**

1. GENERAL PARTICULARS

Division	Date:	Your Letter Ref:
----------	-------	------------------

Place & Country of Training	Programme duration From	Weeks/days To
-----------------------------	----------------------------	------------------

Scholarship awarded	Yes/No
---------------------	--------

Residential Programme	Yes/No
-----------------------	--------

Name of the employee sponsored	Designation	Whether SC/ST
--------------------------------	-------------	---------------

Assigned work area & Dept.	Basic Salary/Grade	Remarks if any
----------------------------	--------------------	----------------

2A. BIO-DATA

Age & Date of Birth	Educational Qualification
---------------------	---------------------------

Experience (Specific area/No. of years)

Before Joining HAL	After Joining HAL
--------------------	-------------------

2B. PAR ratings for last 3 years

Rating (in Nos.)

3. SELECTION FOR TRAINING

3A. The major consideration in selecting the individual for the proposed training.

3B. Relevance of the proposed training to current major duties

3C. Number of persons who have already received the same/similar training.

3D. DETAILS

Name of the Employee	Designation	Duration of trg..	When trained	Place of Training
----------------------	-------------	-------------------	--------------	-------------------

- a)
- b)
- c)

3E. Feedback given by those who have already received this training

Name

GIST OF FEEDBACK

- a)
- b)
- c)

3F. Explain why those already trained abroad/within India cannot train others locally.

3G. Give justification for the proposed duration of training and how it cannot be less than what has been suggested

3H. What specific aspects in the proposed field will be covered during training?

3I. Has the Industry/Institution abroad/within India accepted what is envisaged in sub para 3H above?

3J. Specific reasons for this proposal (Tick wherever applicable).

/-----\
 \-----/ to meet specific organization requirement

/-----\
 \-----/ to expose the employee to new ideas/concepts/technology

/-----\
 \-----/ grooming the employee for higher responsibilities.

/-----\
 \-----/ to enable the employee to perform his present duties adequately.

4. UTILISATION
 What are your plans for this employee after this training?

5. Expenditure		
Course fee	TA&DA	Total
Rs. FE content	Rs. FE content	Rs. FE content

date for payment	Whether provided in training budget	Yes	No
------------------	-------------------------------------	-----	----

/-----\
 \-----/ /-----\
 \-----/ \-----/

6. Previous training if any (including at HAL Management Academy)

Last

Name of the programme attended Conducted by Place Duration

Proposed by (GM/Unit Head)

Recommended by (CEO)

**FEEDBACK FROM EMPLOYEES RETURNING FROM DEPUTATION TO
FOREIGN COUNTRIES**

PART-I- DETAILS OF DEPUTATION

1. **Name of the Employee &P. B No.
Designation & Division**
2. **Duration of Assignment**
3. **Nature of Assignment**
4. **Country of Assignment and details of
places visited in the Foreign Country**
5. **Particulars of persons met (i.e Name,
Designation, Name of the Company,
Nationality details of discussion)**
6. **Special tasks if any given at the time
of departure**

PART-II COMMERCIAL ASPECTS

7. **Details/Objective of commercial Activity** : The Official must clearly bring the task assigned whether the employee was able to fulfil the task or not, difficulties experienced
8. **Assessment/Recommendations**: Deputed Official must give assessment/ recommendations very objectively even if these happen to be negative, so that Company can draw benefit out of theses visits. Under this para official must bring out financial aspects of the project and suitable suggestions by him

PART-III- TRIANING ASPECT

9. **Details /Objectives of Training** : The employee must fully narrate the type of assignment contents of the training/ course, areas of training well covered or weaknesses in the training (enclose photocopies of the contents)
10. **Assessment/Recommendations** : Whether contents of the training can be included for our own personnel, if so at what level

PART-IV-VIGILANCE ASPECT

11. General behavior of the host country/company, any undue overtures shown towards our employees e.g expensive gifts mementos

PART-IV SECURITY ASPECT

- 12 In case the employee has exchanged addresses/telephone/fax No.s etc., such details should be furnished with circumstances/reasons to do so.

**Signature of
Employee with designation**

MAPPING OF SKILL CLUSTER WITH TRADES

MSL No.	Skill Cluster	PSL No.	Individual Skills	Prevailing Trades
1	Machining	1	General Conventional Machining	Fitter/Grinder/Machinist/Miller/Turner
2		2	CNC Machining	Machinist/fitter/Draughtsman (Mechanical)/Programmer/Grinder
3		3	Non-Conventional Machining	Grinder/Machinist
4		4	Special Machining	Grinder/Machinist
5		5	Gear Manufacturing	Grinder
6		6	Advanced Machining	Machinist
7	Sheet Metal	1	Sheet Metal Machine Operator	Fitter/ Machinist/Sheet Metal worker
8		2	Sheet Metal Forming	Fitter
9		3	Advanced Sheet metal Forming	Machinist/Sheet Metal Worker
10	Welding	1	Welding	Welder/Fitter
11		2	Advanced Welding	Welder/Fitter
12	Pipe/Hoses Fabrication	1	Con.Pipe Fabrication	Welder/Fitter
13		2	CNC Pipe Bending	Fitter
14	Process	1	Process Shop/Surface coating	Electroplater/Fitter/Process Mechanic
15	HT	1	Heat Treatment	Heat Treat Operator
16	Painting	1	Painting	Painter
17	Plastic	1	Rubber & Plastic	Fitter/rubber Technician/Laboratory assistant/HeatTreat Operator
18	Casting & Forging	1	Forging	Machinist(Grinder)/Tool & Die Maker/Turner/Welder/Operator Advanced Machine tool/fitter/Forge man
19		2	Casting	Foundry man Technician/ Foundry man/ Molder

20	Composites	1	Composite Technician	Fitter/Store Keeper/Tool and Die maker/ Process Mechanic
21		2	Composite Lab Technician	Lab assistant
22		3	Composite Machinist	Machinist
23	Aircraft & Helicopter Assembly	1	Aircraft/Helicopter Structure Assembly	Fitter
24		2	Aircraft/Helicopter Equipping	Fitter
25		3	Aircraft/Helicopter Electrical	Electrician
26		4	Aircraft/Helicopter Avionics	Electronic Mechanic
27		5	Aircraft/Helicopter Flight Test	Instrument Mechanic/Fitter/Electrician
28		6	Aircraft/Helicopter Mission System	Electronic Mechanic
29		7	Transmission Assembly	Fitter
30		8	Aero Engine Assembly	Fitter
31	Electronics, Inst & Optics	1	Avionics Assembly	Electronic/Instrument Mechanic
32		2	Process	Processes Mechanic
33		3	Optical Assembly	Electronic/Instrument Mechanic
34		4	Mechanical Assembly	Mechanic Mechatronics/Electronic Mechanic
35		5	Electrical System	Electrician/ Wireman
36	ATC	1	Air Traffic Control	Electronic Mechanic/Electrician/Database Administrator
37	Quality	1	Quality Engineering & Quality Assurance	Fitter
38		2	Inspection	Fitter/Radiology Technician/Electronic Mechanic
39		3	Lab	Fitter/Radiology Technician/Electronic Mechanic/Lab Assistant
40	Design	1	Design	Design Assistant DME

41	Production Engineering	1	Production Engineering	Diploma Trainee-Mechanical-Assistant (Progress)
42	Tooling	1	Tooling	Draughtsman/Tool & Die Maker/DME/Carpenter
43	Customer Support	1	Customer Support	Aircraft Technicians , Electricians
44	IMM	1	Material Management /Outsourcing	Commercial Trainees DME/DEE
45	Finance	1	Finance	Accounts Trainee- B.Com
46	IT	1	IT	Diploma Trainee-Computer
47	HR & Legal	1	HR & Legal	Admin Trainee (Admin Asst.), Hindi Typist & Translator
48	Marketing	1	Marketing	Diploma Trainee – Mechanical
49	Maintenance	1	Civil Works & Maintenance	Millwright, Electricians, Boiler Operator, Dip Trainee- Mechanical & Electrical
50	Safety	1	Fire & Safety	Fireman, Safety Inspector
51	Security	1	Security	Security Guard, Watch & Ward Guard
52	Office Management	1	Office Management	Admin Trainee
53	Training	1	Training	Instructor-Diploma in Electrical/ Mechanical

SKILL TRAINING MODULES :- NIPUN & PRAVEEN

Training module will be designed separately for ITI, Non technical staff and Diploma level induction. The salient and indicative features of these modules are given below ;

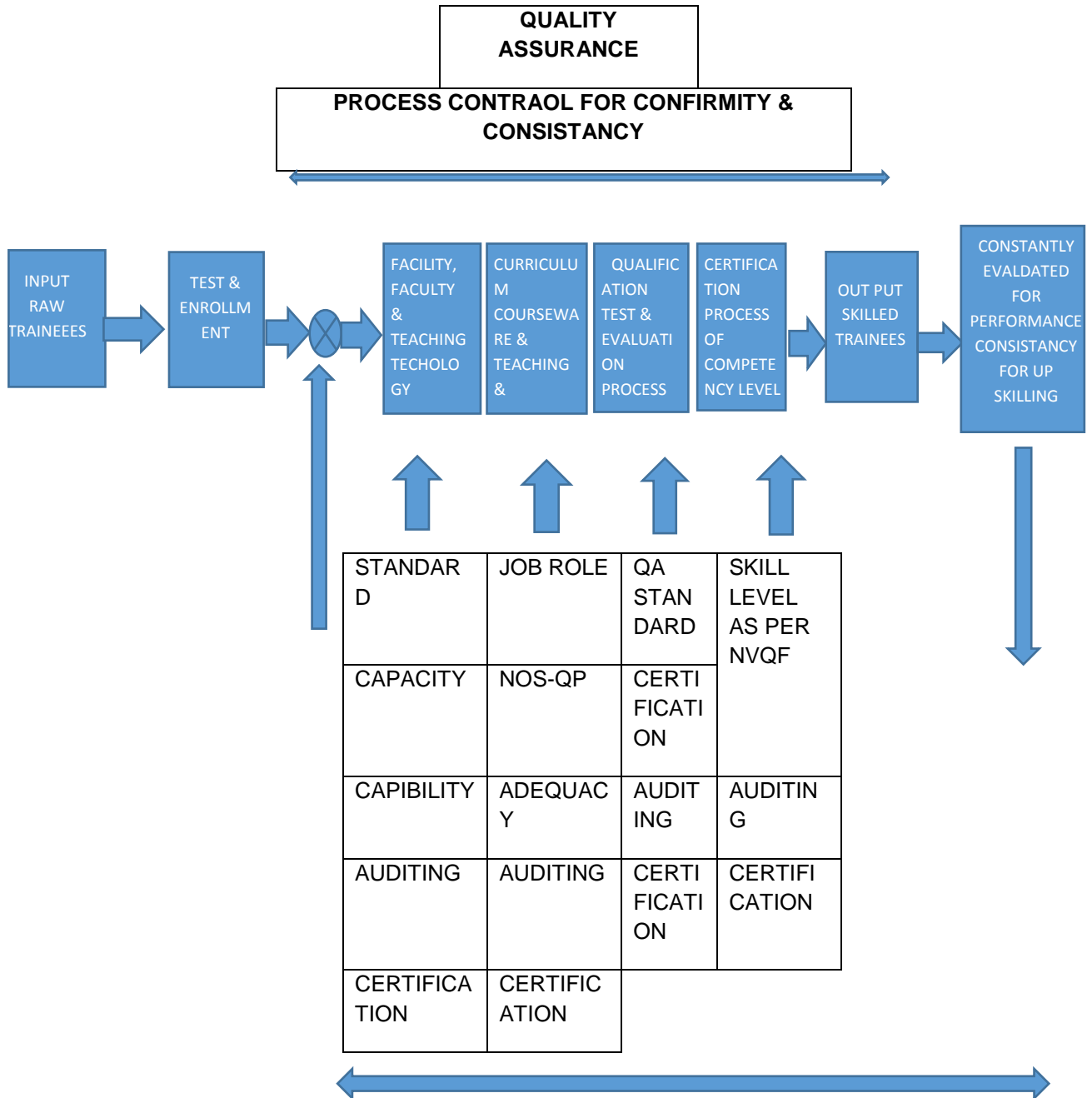
<u>Technician (ITI induction Training Scheme (Nipun-T)</u>	30 Weeks
i) Induction & Orientation at TTI	: 1 Week
ii) Trade/ Skilled and Safety theory & Practical Training at TTI	: 5 Weeks
iii) Familiarization at Division	: 1 Week
iv) Familiarization/ Basic training in Shop at Division	: 2 Weeks
v) On Job Training & Project Work at Division	: 16 Weeks
Specialized Skill Training at TTI/ External Inst.	: 4 Weeks
vi) Final assessment at TTI	: 1 Week

<u>Non- technical staff induction training Scheme (Nipun-NT)</u>	30 Weeks
i) Induction & Orientation at TTI	: 1 Week
ii) Training in respective area at TTI	: 3 Weeks
iii) Familiarization at Division	: 1 Week
iv) Familiarization of working in Dept. at Division	: 2 Weeks
v) On Job Training & Project Work at Division	: 22 Weeks
vi) Final assessment at TTI	: 1 Week

<u>Diploma induction training Scheme (Praveen)</u>	30 Weeks
i) Induction & Orientation at TTI	: 1 Week
ii) Basic Aeronautical Engineering and Product	: 6
a) Safety Manufacturing Production Management, Weeks	
b) Industrial Engineering, Policy & procedures,	
c) Demonstration & Practical Training at TTI	
iii) Familiarization at Division	: 1 Week
iv) Familiarization/Basic Training in Dept/shop at Division	: 2 Weeks
v) On Job Training & Project Work at Division	: 15 Weeks
vi) Specialized Skill Training at TTI/ External Inst.	: 4 Weeks
vii) Final assessment at TTI	: 1Week

**PROCESS MODEL OF SKILL DEVELOPMENT
MANAGEMENT SYSTEM (SDMS)**

SKILL DEVELOP PROCESS



ROLES AND RESPONSIBILITIES-SKILL DEVELOPMENT UNIT

A) Corporate Level

Head of the Skill Development Unit :

- i) Actions in line with this Policy ;
- ii) Organise Certification Training for Trainers;
- iii) Setting -up Qualification Framework and Quality Assurance Mechanism;
- iv) The Performance Appraisal of the TTI heads will be functionally reviewed by Corporate Office
- v) Review the plans of the TTIs and report on the Performance of the entire Skill Development to the Governing Council ;
- vi) Develop common Templates for Skill Gap Mapping, Assessment and for measurement of effectiveness of training and circulate to all Divisions and TTIs for use; and
- viii) Identify TTIs a Centre of Excellence for specialized Trades.

B) Divisional Level

- i) To own the Skill Development processes, to identify the competencies required in the Division and for setting up Competency Standards including preparing catalogues of types of Skill, and their range and depth required for the successful execution of tasks as per plans and budgets.
- ii) To share work place experiences, machinery equipments when required with other Divisions.
- iii) To project budget requirements for creating and maintaining infrastructure and facility improvement for Civil Works/Workshops/ Laboratories/Training Aids etc.
- iv) To assign faculty and assistants to effectively support Skill Development.

HR Heads :

- i) For effectively deploying the Skill requirement information system and planning the Skill Development based on the analysis of demand.
- ii) For drawing Skill Matrix of Workmen, carrying out the Skill Mapping of the Employees, carrying out the analysis to assess the Skill Gap, Training need, organizing Training for Workmen for bridging the Skill Gap, measurement of the effectiveness of Training and further corrective action.
- iii) For maintaining Skill Inventory and use the same for effective planning of manpower and Training/Retraining.
- iv) To raise awareness about the benefit of the Skill Development Plans and activities among Employees.

C) Technical Training Institutes level

Head of TTIs :

- i) Course/Curriculum development
- ii) Delivery of Training, monitoring and evaluation measurement of effectiveness of Training and feed back to Corporate Office.
- iii) Planning and budgeting to fulfill the requirements of the Policy.
- iv) Conducting evaluation of employees and trainees through examination and Certification/Rectification.
- v) Maintaining affiliation and Accreditation processes as required.
- vi) Effective utilization of resources and infrastructure and outsource specialized Trainings/Certification where adequate and economic resources are available externally.
- vii) Use Skill development Information System to identify Employees who require regular Retraining and Recertification in coordination with HR Department of the Division.
- viii) Behavioural aspects need to be addressed in the Training Modules.
- ix) Organise Training for Trainers.

**GOVERNMENT OF -----
(POLICE DEPARTMENT)**

**Office of the
Commissioner of Police,
_____ City.**

No. _____

Date _____

TO WHOM SO EVER IT MAY CONCERN

Sub: Police Verification Certificate

Sri/Smt./Kum _____, S/o

D/o. Shri _____

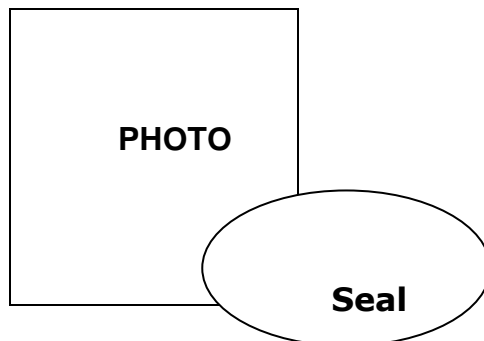
aged about _____ years, and residing at _____

(Indicate full address)

Enquiries disclosed that the applicant named above has been residing at the above given address since _____.

It is certified that during his/her stay at the given address, he/she has not come to any adverse notice in the jurisdictional Police Station Records and that he/she was not involved in any crime/criminal cases.

**For POLICE AUTHORITY
_____ CITY**



UNDERTAKING/INDEMNITY BOND

- A) NAME :
- B) FATHER'S NAME :
- C) ADDRESS : Permanent

Present

- D) PARTICULARS OF THE COLLEGE/
INSTITUTE & ADDRESS
- E) COURSE STUDYING & YEAR/ :
SEMESTER:

Upon the request received from _____ (indicate the name of the College/Institute), where I am presently studying, Hindustan Aeronautics Limited, _____ (indicate the Name of the Division/Office & address) have agreed to afford me an opportunity to undertake _____ (indicate relevant item – like Project Work, Summer Training, etc.), as a part of my Course curriculum. The duration of the _____ will be _____ weeks commencing from _____ (i. e. from _____ to _____).

2. I hereby undertake that, during the period of _____ (indicate relevant item) at HAL _____ Division, I shall abide by the Terms & Conditions as hereinafter appearing:

- a) I shall at all times conform to the Rules & Regulations of HAL as _____ may be prescribed from time to time.
- b) I shall at all times observe the health & safety precautions, including wearing of protective clothing, goggles, shields etc, as _____ may be prescribed for the various operations or for entry to the places of work.

- c) I shall be liable to make good any loss or damage to the property of HAL caused due to my carelessness or negligence during the period of the _____.
- d) In the event of an accident causing injuries/disablement to me or my death during the period of the _____, HAL or any of its employees will not be liable to pay any medical expenses or compensation and that no claim by me or on my behalf by my relatives/dependents/ heirs/clients will lie against HAL or any of its employees.
- e) I shall not enter classified areas of HAL for any reason without prior permission from Competent Authorities.
- f) I shall be punctual and regular. I shall put in a minimum of 80% attendance during my _____, failing which I shall not be entitled for any Certificate for the entire period.
- g) I shall carry out all lawful orders issued in the course of my _____ by the HR & Security Departments, my Project/Training Guide and by the Department(s) where I am assigned from time to time.
- h) I understand that any indiscipline of any nature within the Factory/Office premises will entitle the Authorities to terminate my _____ without any intimation.
- i) I shall not use Company material for my _____ in HAL.
- j) I shall keep and carry with me the Identity Pass issued to me during the _____ period and upon the completion of the said period, I shall return the same to the Security Department.

3. I declare that the particulars indicated at (A) to (E) above are correct and that I am a bonafide Student of the said College/Institution.

4. I declare that I have not come to any adverse notice in the College/ Institution/Police Records nor is there any criminal case pending against me.

5. I declare that I have not used any unfair means and I will not be using unfair means in the process of getting my _____ processed/approved in HAL and also during my _____ period (to fill appropriately).

6. I understand that I am subject to penalties for violating any provisions of the Indian Official Secrets Act 1923 and I agree to abide by these provisions. Further, I hereby solemnly declare that I shall not directly or indirectly communicate, disclose, reveal or cause to do so, to any person or persons, any information, which may come into my knowledge or possession in the course of my engagement for _____ in HAL.

(NAME & SIGNATURE OF THE STUDENT)

Place :

Date:

Two Witnesses (should be HAL employees, Parents, Relatives or Authorities from the College)

	Witness- 1	Witness-2
Signature		
Name		
Relationship		
Address		
Date		



Hindustan Aeronautics Limited

Corporate Office
15/1, Cubbon Road, Bengaluru - 560 001
www.hal-india.co.in

(for Private Circulation Only)