

**NTPC LTD**  
**CORPORATE HR DIVISION**  
**(HR-POLICY GROUP)**

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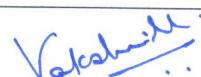
Date:30.01.2015

**CORPORATE HR CIRCULAR NO. 773 / 2015**

**Sub: Modification in NTPC Conduct, Discipline and Appeal Rules**

- 1.0 In compliance with the Lokpal and Lokayuktas Act, 2013 and Public Servants (Furnishing of Information and Annual Return of Assets and Liabilities and the Limits of Exemption of Assets in Filing Returns) Rules, 2014, it has been decided to modify provisions of NTPC CDA Rules as below:

Rule	Existing Provision	Revised provision
16 (3)	Every employee of the company shall report to the competent authority every transaction in movable property either in his name or in the name of any member of his / her family within one month of such transaction, if the value of such property exceeds Rs.20,000/- in case of all executives, employees in the grades of W9-W11 and S2-S4. In respect of other employees the transactions to be reported are those which exceeds Rs.15,000/- in value.	Every employee of the company shall report to the competent authority every transaction in movable property either in his name or in the name of any member of his / her family within one month of such transaction, if the value of such property exceeds <b>2 months basic pay or ₹ 1 lakh, whichever is higher.</b>
16(3)i	Deposits in a Bank or deposits in a Savings Bank Account made by a public servant from out of his salary or accumulated savings do not come within the scope of Rule 16(3)	Deleted
16(3)ii	Any payment received from the previous employers towards gratuity, LTC, leave encashment etc. if it exceeds the prescribed monetary limit in value.	Deleted
16(3) iii	Employee need not report to the prescribed authority the fact of his having taken an insurance policy	Deleted



	or National Saving Certificate, if the annual premium thereon or amount thereof is less than the monetary limit prescribed in Rule 16(3) of the NTPC CDA Rules 1977. He should, however, submit a report to the prescribed authority at the time of receiving the sum assured as survival benefit / on maturity of the policy. On maturity of NSCs etc., the same should be reported to the prescribed authority if the maturity value exceeds the monetary ceiling.	
16(3)iv	It would be necessary for the public servant to report to the prescribed authority the purchase of Postal or National Savings Certificates, deposits in Public Provident Fund (PPF) account etc. exceeding the prescribed monetary limit in value, from out of his salary or accumulated savings or deposits in Bank or Post Offices, as these come in the scope of Rule 16(3). Purchases of Postal or National Savings Certificates, deposits in PPF account etc. should therefore be reported provided it exceeds the prescribed monetary limit.	Deleted
16(3)v	Credit Card payments exceeding the monetary ceiling for each single transaction is to be intimated if it leads to the acquisition of movable property.	Deleted
16(3)vi	Tax refunds received from Income Tax Department exceeding the prescribed limit due to him while filling the IT return, has to be reported as a transaction in movable property as and when the refund is received by him.	Deleted
16(3)vii	Shares are movable property for the purpose of Rule 16(3) of the NTPC CDA Rules, 1977, if an	Deleted

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	individual transaction exceeds the amount prescribed in Rule 16(3), the information to the prescribed authority would be necessary. In case of futures / options report to the prescribed authority will be necessary where the margin money exceeds the stipulated monetary limits.	
16(4)	Every employee shall, on first appointment in the Company, submit a return of assets and liabilities in the prescribed form giving the particulars regarding:	Every employee shall, on first appointment in the Company, submit a return of assets and liabilities of which he, his spouse and his dependent children are, jointly or severally, owners or beneficiaries in the prescribed form within thirty days of joining the company giving the particulars regarding:
(c)	Every employee shall, on first appointment in the company, submit a return of assets and liabilities in the prescribed form giving the particulars regarding other movable property inherited by him or similarly owned, acquired, or held by him if the value of such property exceeds Rs.15,000/-.	other movable property inherited by him or similarly owned, acquired, or held by him and his dependants if the value of such property <b>exceeds 2 months basic pay or ₹ 1 lakh, whichever is higher.</b>
(e)	Every employee shall beginning 1st January submit a return of immovable property / immovable property and assets / liability as per prescribed formats each calendar year.  *The statement of property returns should be submitted in forms as placed in Annexure V, VI.	Every employee shall <b>on or before 31<sup>st</sup> July</b> submit a declaration/return of movable property / immovable property and assets / liability as per prescribed formats <b>as on 31<sup>st</sup> March of that year.</b>  *The statement of property returns should be submitted in forms as prescribed under The Lokpal and Lokayuktas Act, 2013, placed in Annexure V & VI as amended by Government of India from time to time.
(f)	Every employee shall beginning 1st January furnish information in form 3 placed at Annexure-VI	Deleted

	regarding total transactions in shares, securities, debentures & investments in mutual funds etc. exceeding Rs.25,000/- during a calendar year.	
16(6) (iv)	All employees of NTPC would be required to disclose to the company all transactions of purchase / sale in shares worth Rs.20,000/- or more in value or existing holding / interest in the shares worth of Rs.20,000/- or more in his / her own name or in the name of any family member to report to the company indicating quantity, price, date of transaction and nature of interest within 4 working days.	All employees of NTPC covered by the Insider Trading code of conduct would be required to disclose to the company all transactions of purchase / sale in shares or existing holding / interest in the shares in his / her own company either in his / her own name or in the name of any family member to the company indicating quantity, price, date of transaction and nature of interest within 4 working days, if the value of shares purchased exceeds 2 months basic pay or ₹1 lakh, whichever is higher.
16		<b>[New para added at the end after Rule16(6)]</b> Returns/ papers/documents relating to all these transactions shall be kept on record with Vigilance Department at respective Projects/ Stations/ RHQs and Corporate Centre. However in Project/ Stations/ RHQs where the Vigilance unit is not functional, these will be kept with the respective Business Unit Head.

2.0 The amended formats at Annexure V and Annexure VI of CDA Rules (as below) are enclosed:

#### ANNEXURE V:

Return of Assets and Liabilities on First Appointment or as on the 31<sup>st</sup> March, 20....  
(Under Sec 44 of the Lokpal and Lokayuktas Act, 2013)

#### ANNEXURE VI:

- Form No.I : Details of Public Servant, his/her spouse and dependent children
- Form No.II: Statement of movable property on first appointment or as on the 31<sup>st</sup> March, 20.....
- Form No.III: Statement of immovable property on first appointment or as on the 31<sup>st</sup> March, 20.....(e.g. Lands, House, Shops, Other Buildings, etc.)
- Form No.IV: Statement of Debts and Other Liabilities on first appointment or as on 31<sup>st</sup> March, 20.....



- 3.0 All below Board level employees of NTPC shall have to file their annual returns of such assets and liabilities as on 31<sup>st</sup> March of each year in the prescribed formats(as specified in para 2.0 above) on or before 31<sup>st</sup> July each year.

However, employees shall have to submit two (02) returns in the prescribed formats in the year 2015

- (a) Declaration of their Assets and Liabilities as on 01.08.2014 on or before 30.04.2015

And

- (b) Declaration of their Assets and Liabilities as on 31.03.2015 on or before 31.07.2015.

- 4.0 These annual returns statements of employees may be published on the Company's website by 31<sup>st</sup> August of each year.

- 5.0 This comes into force with immediate effect

- 6.0 All other terms and conditions of NTPC CDA Rules remains unaltered.

- 7.0 This issues with the approval of the Competent Authority.

*Vakulwala  
30/1/2015*  
(VIJAYA LAKSHMI M)  
DGM (HR-Policy & Wages)

Distribution: As per list

**ANNEXURE V**

**Return of Assets and Liabilities on First Appointment or as on the 31<sup>st</sup> March 20.....\***  
 (Under Sec 44 of the Lokpal and Lokayuktas Act, 2013)

1. Name of the Public Servant in full.....  
 (in block letters)
  
2. (a) Present public position held  
 (Designation, name and address  
 of organization) .....
  
- (b) Service to which belongs  
 (if applicable) .....

Declaration:

I hereby declare that the return enclosed namely, Forms I to IV are complete, true and correct to the best of my knowledge and belief, in respect of information due to be furnished by me under the provisions of section 44 of the Lokpal and Lokayuktas Act, 2013.

Date ..... Signature .....

\*In case of first appointment please indicate date of appointment.

**Note1.** This return shall contain particulars of all assets and liabilities of the public servant either in his / her own name or in the name of any other person. The return should include details in respect of assets / liabilities of spouse and dependent children as provided in Section 44(2) of the Lokpal and Lokayuktas Act, 2013.

(Section 44(2): A public servant shall, within a period of thirty days from the date on which he makes and subscribes an oath or affirmation to enter upon his office, furnish to the competent authority the information relating to:

- (a) the assets of which he, his spouse and his dependent children are, jointly or severally, owners or beneficiaries;
- (b) his liabilities and that of his spouse and his dependent children)

**Note2.** If a public servant is a member of Hindu Undivided Family with co-parcenary rights in the properties of the family either as a 'Karta' or as a member, he should indicate in the return in the Form No.III the value of his share in such property and where it is not possible to indicate the exact value of such share, its approximate value. Suitable explanatory notes may be added wherever necessary.

**Note3** "dependent children" means sons and daughters who have no separate means of earning and are wholly dependent on the public servant for their livelihood. (Explanation below Section 44(3) of Lokpal and Lokayuktas Act, 2013).

**ANNEXURE VI****FORM No. I****Details of Public Servant, his / her spouse and dependent children**

<b>Sl.No.</b>		<b>Name</b>	<b>Public position held, if any)</b>	<b>Whether return being filed by him/ her, separately</b>
1.	Self			
2.	Spouse			
3.	Dependent-1			
4.	Dependent-2			
5.*	Dependent-3			

\*Add more rows, if necessary.

Date.....

Signature.....

**ANNEXURE VI****FORM No.II****Statement of movable property on first appointment or as on 31<sup>st</sup> March, 20.....**  
(Use separate sheets for self, spouse and each dependent child)

Name of public servant / spouse / dependent child:.....

S.No.	Description	Remarks, if any
(i)*	Cash and bank balance	
(ii)**	Insurance(premia paid) Fixed / Recurring Deposits (s) Shares / Bonds : Mutual Fund(s) : Pension Scheme / Provident Fund Other investments, if any:	
(iii)	Personal loans / advance given to any person or entity including firm, company, trust etc. and other receivables from debtors and the amount (exceeding two months basic pay or Rupees one lakh as the case may be)	
(iv)	Motor Vehicles (Details of Make, registration number, year of purchase and amount paid)	
(v)	Jewellery [Give details of approximate weight (plus or minus 10 gms in respect of gold and precious stones; plus or minus 100 gms. in respect of silver)] Gold Silver Precious metals and precious stones Composite items (indicate approximate value)***	
(vi)	Any other assets (Give details of movable assets not covered in (i) to (v) above] (a) Furniture (b) Fixtures (c) Antiques (d) Paintings (e) Electronic equipments (f) Others (Indicate the details of an asset, only if the total current value of any particular asset in any particular category (e.g. furniture, fixtures, electronic equipments etc.) exceeds two months' basic pay or Rs.1.00 lakh, as the case may be]	

Date.....

Signature.....

\* Details of deposits in the foreign Bank(s) to be given separately.

\*\* Investments above Rs.2 lakhs to be reported individually. Investments below Rs. 2 lakhs may be reported together.

\*\*\* Value indicated in the first return need not be revised in subsequent returns as long as no new composite item had been acquired or no existing items had been disposed of, during the relevant year."

ANNEXURE VI

**FORM NO.III**

**Statement of immovable property on first appointment or as on the 31<sup>st</sup> March, 20...**  
**(e.g. Lands, House, Shops, Other Buildings etc.)**

(e.g. Lands, House, Shops, Other Bulidings etc.)

S. No.	Description of property (Land / House / Flat /Shop / Industrial etc.)	Precise location (Name of District, Division Taluk and Village in which the property is situated and also its distinctive number etc.)	Area of land case land and buildings)	Nature of land case landed property	Extent of interest	If not in name of public servant, state in whose name held and his/her relationship, if any to the public servant	Date of acquisition -on	How acquired by (whether purchase, mortgage, inheritance, gift or otherwise) and name with details of person / persons from whom acquired (address and connection of the Government servant, if any, with the person / persons concerned)	Total annual income from the property	Present value of the property (if exact value not known, approx value may be indicated)	Remarks
1	2	3	4	5	6	7	8	9	10	11	12

Date.....

Signature.....

Note(1): For purpose of Column 9, the term "lease" would mean a lease of immovable property from year to year or for any term exceeding one year or reserving a yearly rent. Where, however, the lease of immovable property is obtained from a person having official dealings with the Government servant, such a lease should be shown in this Column irrespective of the term of the lease, whether it is short term or long term, and the periodicity of the payment of rent.

**ANNEXURE VI****FORM No.IV****Statement of Debts and Other Liabilities on first appointment or as on 31<sup>st</sup> March, 20.....**

<b>Sl. No.</b>	<b>Debtor (Self/spouse or dependent children)</b>	<b>Name and address of Creditor</b>	<b>Nature of debt / liability and amount</b>	<b>Remarks</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>

Date.....

Signature.....

Note1: Individual items of loans not exceeding two months basic pay (where applicable) and Rs.1.00 lakh in other cases need not be included.

Note2: The statement should include various loans and advances (exceeding the value in Note 1) taken from banks, companies, financial institutions, Central / State Government and from individuals.