

I **Item 4 (1)(b)-(vi)**
**A statement of the categories of documents that are held by it
or under its control**

A statement of categories of documents

- Loan application
- DPR
- Appraisal Note
- Site Visit Report (If the Site Visit is conducted)
- Processing Note
- Screening committee note
- Copy of Approving authority approval
- Sanction letter
- Disbursement note
- LIE report, LFA report, Project cost incurred certificate
- General correspondence with Borrower

Programme Management Division (PMD)

The following category of documents are kept by PMD Division for DDUGJY and Saubhagya scheme:

- Guidelines of the schemes.
- Monitoring Committee Minutes and decisions.
- Sanction letters.
- MIS reports submitted by Implementing Agencies.
- Various Certificates in line with the scheme guidelines.
- Quality Monitoring records.
- General correspondence with MoP/States/ Implementing Agencies.

CATEGORIES OF DOCUMENTS THAT ARE HELD BY COMPANY SECRETARY'S DIVISION OR UNDER ITS CONTROL

The following documents/manuals/records/rules are used in the Company Secretary's Division:-
(updated as on 19.07.2018)

Sl. No	Name/Title of the document	Type of document	Brief description of the document
DOCUMENTS HELD BY COMPANY SECRETARY'S DIVISION			
1	Memorandum of Association and Articles of Association	Statutory documents	Statutory document as per provisions of Companies Act. Memorandum of Association covers <i>inter alia</i> the main and other objects of the Company and Articles of Association are the bye laws according to which the Company operates.
2	Annual Reports of REC and its subsidiaries	Statutory document	Contains details of Board of Directors, Mission & Objectives, Chairman Speech, Directors' Report, Management Discussion & Analysis Report, Corporate Governance Report, Business Responsibility Report, Secretarial Audit Report, Financial Statements, Auditors Report, Address of REC Offices, etc.

3	Loan Policy Circulars	Policy document
4	Policy for Prevention of Frauds in REC	Policy document
5	Fair Practices Code of REC in terms of Reserve Bank of India (RBI) Guidelines	Policy document
6	The Code of Business Conduct & Ethics for Board Members and Senior Management	Policy document
7	Code for Prevention of Insider Trading in REC Equity Shares/Securities	Policy document
8	Policy on Materiality of Related Party Transactions & Dealing with Related Party Transactions	Policy document
9	Policy for Determining Material Subsidiaries	Policy document
10	Delegation of Powers	Internal document of the Company approved by

<p>Details of applicable interest rates on Loans sanctioned under various categories of REC schemes, repayment period, etc.</p>
<p>The Policy provides a system for prevention & detection of Frauds in the Company.</p>
<p>REC has approved the Fair Practices Code (FPC) for its lending operations which intends to provide assurance to all the borrowers of the Company's commitment to fair dealing and transparency in its business transactions.</p>
<p>This Code is for Board Members, KMPs and Senior Management, which captures the behavioral and ethical standards and is framed in compliance of provisions of Listing Agreement entered with Stock Exchanges and Clause 3.4 of the Department of Public Enterprises (DPE) Guidelines on Corporate Governance for Central Public Sector Enterprises, 2010.</p>
<p>This Code framed in pursuance of Regulation 9 of Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015, to preserve the Confidentiality and to prevent misuse of unpublished price sensitive information.</p>
<p>This policy provides the criteria for determining the materiality of Related Party Transactions. The objective of this Policy is to ensure proper approvals & reporting of the transactions between REC and its Related Parties in compliance of provisions of the Companies Act, 2013, DPE Guidelines, Listing Agreement and any other applicable statutory provisions for the time being in force, in this regard.</p>
<p>This policy provides the criteria for determining the Materiality of Subsidiary companies of REC.</p>
<p>The details of administrative, financial and other powers to different category of officers at Registered office as well as various Regional/Sub Offices.</p>

		Board of Directors	
11	Whistle Blower Policy	Policy document	This Policy enables Directors/Employees of REC and/or subsidiaries to raise concerns regarding any alleged malpractice or wrongdoing, which could affect the business or reputation of the
12	Statutory Registers	Records/document	Register of Members, Register of Directors and KMPs, Register of Charges and Register of Contracts or Arrangements in which Directors are
13	Policy on Materiality of Events/Information for disclosure to Stock Exchanges.	Policy document	Policy to provide overall governance framework for ascertaining the materiality of events or information relating to the Company and to ensure that the Company disseminates such events and information promptly to the Stock
14	Terms and Conditions of Appointment of Independent	Policy document	Terms and Conditions of Appointment of Independent Directors including the copies of Order(s) regarding appointment of Independent Directors of the Company
15	Familiarization Programme for Independent Directors	Policy document	To familiarize the Independent Directors with the Company, their roles, rights, responsibilities in the Company, nature of the industry in which the Company operates, business model of the