

Item 4 (1) (b)-(v)

**Rules, regulations, instructions manual and records for discharging functions
& Title and nature of the record/ manual /instruction**

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The following are the general documents which are held by PFC for effective & efficient working of its operations:

- (a) Articles of Association and Memorandum of Association
- (b) Manuals developed for conducting of business and work
 - i. HR manual,
 - ii. Procurement manual,
 - iii. Vigilance manual,
 - iv. Resource Mobilization Manual (Domestic and International),
 - v. Servicing Manual (Domestic and International),
 - vi. Investment Manual,
 - vii. Risk Management Policy etc.
- (c) Various presidential directives issued from time to time such as on reservation and concessions available to economically and socially weaker sections of the society such as SC/ST/OBC/PH etc. as also in the context of wage revision and policies etc.
- (d) Operational Policy Statement (developed by the corporation), policies on grants & Concessional or Interest free loans etc., Standard loan documents, terms of bilateral /multilateral agreement etc.
- (e) Various guidelines issued by Government of India on subjects, such as, Restructured Accelerated Power Development and Reforms Programme (R-APDRP), Integrated Power Development Scheme (IPDS), terms of Memorandum of Understanding (MoU) reached with Government of India represented by Ministry of Power and Power Finance Corporation for various financial years, MOUs entered into with other organizations such as training institutions etc.
- (f) Necessary provisions of laws applicable such as Companies Act 1956, Income Tax Act 1961, SEBI Guidelines & other related Acts.
- (g) Various guidelines issued by Department of Public Enterprises in the matter of service condition, benefits etc. available to various sections of employees. Instructions, guidelines, circulars issued by tax enforcement authority such as Central Board of Direct Taxes, Comptroller and Auditor General Accounts, Ministry of Finance etc.
- (h) Scheme of delegation of power and approved by Board of Directors
- (i) Various circulars, instructions issued by the corporation in the matter of disposal of business etc.

There are few other documents which are available on the website of PFC for general public and the list of the same is given below :-

S. No.	Name/ Title of the document	Type of document	Brief description of the document
1.	Annual Reports of PFC and its subsidiaries	Statutory document	<p>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 PFC Offices, etc.</p> <p>The above policy is placed at the below mentioned link:- http://www.pfcindia.com/Home/VS/72</p>
2.	Policy for Prevention of Frauds in PFC	Policy document	<p>The Policy provides a system for prevention & detection of Frauds in the Company.</p> <p>The above policy is placed at the below mentioned link: - http://www.pfcindia.com/Default/ViewFile/?id=1471520577857_ANTI%20FRAUD%20POLICY%2005_11_2011.pdf&path=Page&Name=Anti%20Fraud%20Policy</p>
3.	Fair Practices Code of PFC in terms of Reserve Bank of India (RBI) Guidelines	Policy document	<p>PFC 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. The above policy is placed at the below mentioned link:- http://www.pfcindia.com/Default/ViewFile/?id=1472556065082_Fair%20Practice%20Code%20of%20PFC%20issued%20vide%20circular%20dated%2023%2003%202015.pdf&path=Page&Name=Fair%20Practices%20Code</p>
4.	The Code of Business Conduct & Ethics for Board Members and Senior Management	Policy document	<p>This Code is for Board Members, KMPs and Senior Management, which captures the behavioural 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)</p>

			<p>Guidelines on Corporate Governance for Central Public Sector Enterprises, 2010.</p> <p>The above policy is placed at the below mentioned link:- http://www.pfcindia.com/Default/ViewFile/?id=1472556128687_Code%20of%20Conduct%2017042015.pdf&path=Page&Name=Code%20of%20Conduct%20for%20Board%20of%20Directors%20and%20Senior%20Management%20Personnel</p>
5.	Code for Prevention of Insider Trading in PFC Equity Shares/ Securities	Policy document	<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>The above policy is placed at the below mentioned link:- http://www.pfcindia.com/Default/ViewFile/?id=1471519901217_PFCs_Code_of_Conduct_for_regulating_reporting_trading_by_insiders_and_for_fair_disclosure_2015.pdf&path=Page</p>
6.	Policy on Materiality of Related Party Transactions	Policy document	<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 PFC 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>The above policy is placed at the below mentioned link :- http://www.pfcindia.com/Default/ViewFile/?id=1546009072130_PolicyoRelatedPartyTransactions.pdf&path=Page</p>

7.	Policy Determining Material Subsidiaries	Policy document	<p>This policy provides the criteria for determining the Materiality of Subsidiary companies of PFC.</p> <p>The above policy is placed at the below mentioned link :- http://www.pfcindia.com/Default/ViewFile/?id=1546008961743_Policyon.pdf&path=Page</p>
8.	Delegation of Powers	Internal document of the Company approved by Board of Directors.	The details of administrative, financial and other powers to different category of officers at Registered office as well as various Regional/Sub Offices.
9.	Whistle Blower Policy	Policy document	<p>This Policy enables Directors/ Employees of PFC and/or subsidiaries to raise concerns regarding any alleged malpractice or wrongdoing, which could affect the business or reputation of the Company.</p> <p>The above policy is placed at the below mentioned link :- http://www.pfcindia.com/Default/ViewFile/?id=1490188785276_WBP.pdf&path=Page</p>
10.	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 interested, etc.
11.	Policy on Materiality of Events/Information for disclosure to Stock Exchanges.	Policy document	<p>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 Exchanges, on which the securities of the Company are listed.</p> <p>The above policy is placed at the below mentioned link:- http://www.pfcindia.com/Default/ViewFile/?id=1472556452570_Circular%20Policy%20for%20Determination%20of%20Materiality%20of%20Events.pdf&path=Page&Name=Policy%20for%20Determi</p>

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12.	Terms and Conditions of Appointment of Independent Directors	Policy document	Terms and Conditions of Appointment of Independent Directors including the copies of Order(s) regarding appointment of Independent Directors of the Company.
13.	Policy on Procurement Plan	Policy document	The policy on procurement plan is placed at the below mentioned link:- https://www.pfcindia.com/Home/VS/125
14.	Policy on Dividend Distribution	Policy document	The policy has been framed broadly in line with the provisions of the Companies Act and also taking into consideration, guidelines on “Capital Restructuring of Central Public Sector Enterprises” issued by Department of Investment and Public Asset Management (DIPAM), Ministry of Finance, Department of Public Enterprises, SEBI and other guidelines, to the extent applicable. The above policy is placed at the below mentioned link :- http://www.pfcindia.com/Default/ViewFile/?id=1546009180778_DividendDistribution.pdf&path=Page
15.	Policy for training of Board Members	Policy document	The policy has been framed to provide an opportunity to Board level functionaries to upgrade their knowledge in business model of the company including risk profile of the business of the Corporation and to ensure that the responsibilities are discharged in an effective manner. The policy shall also attempt to provide exposure to trainings Corporate Governance, model code of business ethics and conduct as applicable to the directors. The above policy is placed at the below mentioned link :- http://www.pfcindia.com/Default/ViewFile/?id=1519129010410_CCE20022018ENg.pdf&path=Page

Transfer policy and transfer orders: - The Transfer policy and transfer orders are placed at the below mentioned link:-

- [Transfer Policy](#)
- [Transfer Orders](#)