

## **SPMCIL Conduct, Discipline and Appeal (CDA) Rules-2020**

### **Rule 1. Short title and commencement**

- i. These rules may be called 'Security Printing and Minting Corporation of India Ltd. (SPMCIL) Conduct, Discipline and Appeal Rules 2020'.
- ii. They shall come into force from the date of approval by the Board of SPMCIL.

### **Rule 2. Application**

These rules shall apply to all employees starting from CMD, Functional Directors, Executives, Supervisors, Office Staff and Workmen category [excluding those governed under Industrial Employment (Standing Orders) Act] of the Company, which includes Mints, Presses, Paper Mill and the Corporate Office.

### **Rule 3. Definitions**

In these rules, unless the context otherwise requires-

- a) 'Appellate Authority' means the authority specified in the Schedule appended to these rules.
- b) 'Board' means the Board of Directors of the Company and includes in relation to the exercise of powers, any Committee of the Board/management or any executive of the Company to whom the Board delegates any of its powers.
- c) 'Chairman and Managing Director' means the Chairman and Managing Director of the Company.
- d) 'Company' means Security Printing and Minting Corporation of India Ltd. (SPMCIL).
- e) 'Competent Authority' means the authority empowered by the Board of Directors by any general or special rule or order to discharge the function or use the powers specified in the rule or order.
- f) 'Disciplinary Authority' means the authority specified in the Schedule appended to these rules and competent to impose any of the penalties specified in Rule 23.

g) 'Employee' means a person in the employment of the Company other than the casual, work-charged or contingent staff or workman as defined in the Industrial Disputes Act, 1947, but includes a person on deputation to the Company.

h) 'Family' in relation to an employee includes:-

i. The wife or husband as the case may be of the employee, whether residing with the employee or not but does not include a wife or husband as the case may be, separated from the employee by a decree or order of a Competent court.

ii. Sons or daughters or stepsons or stepdaughters of the employee and wholly dependent on the employee, but does not include a child or stepchild who is no longer in any way dependent on the employee or of whose custody the employee has been deprived of by or under any law.

iii. Any other person related, whether by blood or marriage to the employee or to such employee's wife or husband and wholly dependent on such employee.

i) 'Government' means the Government of India.

j) 'Public servant' shall mean and include a person as defined in Section 2(1) (o) read with Section 14 (f) of the Lokpal and Lokayukta Act, 2013 as amended from time to time.

k) 'Reviewing Authority' means the authority specified in the Schedule attached to these rules.

l) 'Inquiry Authority' means an Employee or Committee of Employees not belonging to the same department of the Company, retired govt. servant/public servant or an employee from any other Public Sector Undertaking duly constituted under these rules by disciplinary authority to enquire into allegations of misconduct levelled against one or more than one charge sheeted employee.

#### **Rule 4. General**

(1) Every employee of the Company shall at all times

i. maintain absolute integrity;

ii. maintain devotion to duty;



- iii. do nothing which is unbecoming of a public servant;
- iv. commit oneself to and uphold the supremacy of the Constitution and democratic values;
- v. defend and uphold the sovereignty and integrity of India, the security of the State, public order, decency and morality;
- vi. maintain high ethical standards and honesty;
- vii. maintain political neutrality;
- viii. promote the principles of merit, fairness and impartiality in the discharge of duties;
- ix. maintain accountability and transparency;
- x. maintain responsiveness to the public, particularly to the weaker section;
- xi. maintain courtesy and good behavior with the public;
- xii. take decisions solely in public interest and use or cause to use public resources efficiently, effectively and economically;
- xiii. declare any private interests relating to the Employee's public duties and take steps to resolve any conflicts in a way that protects the public interest;
- xiv. not place oneself under any financial or other obligations to any individual or organization which may influence the employee in the performance of one's official duties;
- xv. not misuse one's position as public servant and not take decisions in order to derive financial or material benefits for oneself, one's family or one's friends;
- xvi. make choices, take decisions and make recommendations on merit alone;
- xvii. act with fairness and impartiality and not discriminate against anyone, particularly the poor and the under-privileged sections of society;

- xviii. refrain from doing anything which is or may be contrary to any law, rules, regulations and established practices;
- xix. maintain discipline in the discharge of one's duties and be liable to implement the lawful orders duly communicated to the employee;
- xx. maintain confidentiality in the performance of one's official duties as required by any laws for the time being in force, particularly with regard to information, disclosure of which may prejudicially affect the sovereignty and integrity of India, the security of the State, strategic, scientific or economic interests of the State, friendly relation with foreign countries or lead to incitement of an offence or illegal or unlawful gain to any person;
- xxi. conduct at all times in a manner conducive to the best interest of the Company which will enhance the reputation of the Company;
- xxii. do nothing which shall lower the image of the Company;
- xxiii. perform and discharge one's duties with the highest degree of professionalism and dedication to the best of his/her abilities.

- (2) (i) Every employee of the Company holding a supervisory/ position shall take all possible steps to ensure the integrity and devotion to duty of all employees for the time being under his/her control and authority.
- (ii) No Employee of Company shall, in the performance of his/her official duties, or in the exercise of powers conferred on the employee, act otherwise than in his/her best judgement except when employee is acting under the direction of his/her official superior;
- (iii) The direction of the official superior shall ordinarily be in writing. Oral direction to subordinates shall be avoided, as far as possible. Where the issue of oral direction becomes unavoidable, the official superior shall confirm it in writing immediately thereafter;
- (iv) An employee who has received oral direction from his/her official superior shall seek confirmation of the same in writing as early as possible, whereupon it shall be the duty of the official superior to confirm the direction in writing.



Explanation I.- An employee who habitually fails to perform the task assigned to the employee within the time set for the purpose and with the quality of performance expected of the employee shall be deemed to be lacking in devotion to duty within the meaning of clause (ii) of sub-rule (1).

Explanation II.- Nothing in clause (ii) of sub-rule (2) shall be construed as empowering an Employee to evade his/her responsibilities by seeking instructions from, or approval of, a superior officer or authority when such instructions are not necessary under the scheme of distribution of powers and responsibilities.

**(2)A. Promptness and Courtesy**

No Employee shall

- a. in the performance of his/her official duties, act in a discourteous manner;
- b. in his/her official dealings with the public or otherwise adopt dilatory tactics or willfully cause delays in disposal of the work assigned to him/her.

**(2)B. Observance of Government's policies**

Every Employee shall, at all times-

- (i) act in accordance with the Government's policies regarding age of marriage, preservation of environment, protection of wildlife and cultural heritage;
- (ii) observe the Government's policies regarding prevention of crime against women.

**(3) Prohibition of sexual harassment of women**

*(1) No employee shall indulge in any act of sexual harassment of any woman at any work place.*

*(2) Every employee who is in-charge of a work place shall take appropriate steps to prevent sexual harassment to any woman at the work place.*

*Explanation. - (1) For the purpose of this rule, -*

a) *"sexual harassment" includes any one or more of the following acts or behaviour (whether directly or by implication) namely : -*

*(i) physical contact and advances; or*

*(ii) a demand or request for sexual favours; or*

*(iii) making sexually coloured remarks; or*

*(iv) showing pornography; or*

*(v) any other unwelcome physical, verbal, non-verbal conduct of a sexual nature.*

b) *the following circumstances, among other circumstances, if it occurs or is present in relation to or connected with any act or behaviour of sexual harassment may amount to sexual harassment : -*

*i. implied or explicit promise of preferential treatment in employment; or*

*ii. implied or explicit threat of detrimental treatment in employment; or*

*iii. implied or explicit threat about her present or future employment status; or*

*iv. interference with her work or creating an intimidating or offensive or hostile work environment for her; or*

*v. humiliating treatment likely to affect her health or safety.*

#### **Rule 5. Misconduct**

Without Prejudice to the generality of the term "misconduct", the following acts of omission and commission shall be treated as misconduct:-

1. Theft, fraud or dishonesty in connection with the business or property of the Company or of property of another person within the premises of the Company.

2. Taking or giving bribes or any illegal gratification.

2A. Obtaining donations/ advertisement / sponsorship etc. for the associations/NGOs formed by either employee or their spouse / employee's family members etc. from the contractors, vendors, customers or other persons having commercial relationship / official dealings with the Company.



3. Possession of pecuniary resources or property disproportionate to the known source of income by the employee or on his/her behalf by another person, which the employee cannot satisfactorily account for.
4. Furnishing false information regarding name, age, father's name, qualification, ability or previous service or any other matter germane to the employment at the time of employment or during the course of employment.
5. Acting in a manner prejudicial to the interests of the Corporation/ Company.
6. Willful insubordination or disobedience, whether or not in combination with others, of any lawful and reasonable order of employee's superior.
7. Absence without leave or over-staying the sanctioned leaves for more than four consecutive days without sufficient grounds or proper or satisfactory explanation.
8. Habitual late or irregular attendance.
9. Neglect of work or negligence in the performance of duty including malingering or slowing down of work.
10. Damage to any property of the Company.
11. Interference or tampering with any safety devices installed in or about the premises of the Company.
12. Drunkenness or riotous or disorderly or indecent behaviour in the premises of the Company or outside such premises where such behaviour is related to or connected with the employment.
13. Gambling within the premises of the Company.
14. Smoking within the premises of the Company.
15. Collection without the permission of the competent authority of any money within the premises of the Company except as sanctioned by any law of the land for the time being in force or rules of the Company.

16. Sleeping while on duty.
17. Making false or baseless allegations against any employee of the Company;
18. Commission of any act, which amounts to a criminal offence involving moral turpitude.
19. Absence from the employee's appointed place of work without permission or sufficient cause.
20. Purchasing properties, machinery, stores, etc. from or selling properties, machinery, stores etc., to the Company without express permission in writing from the Competent Authority.
21. Commission of any acts subversive of discipline or which amount to a criminal offence.
22. Abetment of or attempt at abetment of any act which amounts to misconduct.
23. Distribution or exhibition inside the Company's premises of any newsletters, handbills, pamphlets or posters without the previous sanction of the Competent Authority.
24. Participation in Political Activities.
25. Attending or holding meetings within the Company's premises without the prior permission of the Competent Authority.
26. Participation in strikes, gheraos and other agitation activities.
27. Refusal to receive any official communication.
28. Indulging in any act of sexual harassment of women employee at work place (s).
29. Unauthorized use of any property, machinery, tools, quarters or land belonging to the Company.
30. Disclosing to any authorized person any confidential or restricted information in regard to the working of or any process used in the



Company which comes into the possession of the employee during the course of his/her work.

31. Carrying dangerous weapons or attempting bodily injury or intimidation to any employee of the Company in the Company premises.

32. Habitual indebtedness and/or insolvency.

33. Breach of any rule/procedure/order of the Company promulgated from time to time.

34. Involvement in any type of fraud, forgery or criminal offence.

**\*Note:** The above instances of misconduct are illustrative in nature, and not exhaustive..

**Rule 6. Employment of near relatives of the employees in any company or firm enjoying patronage of the Company.**

1. No employee shall use his/her position or influence directly or indirectly to secure employment for any person related, whether by blood or marriage to the employee or to the employee's wife or husband, whether such a person is dependent on the employee or not.

2. No employee shall, except with the previous sanction of the competent authority, permit his/her son, daughter or any member of the family to accept employment with any company or firm / entity with which the employee has official dealings, or with any company or firm / entity, having official dealings with the Company.

Provided that where the acceptance of the employment cannot await the prior permission of the competent authority the employment may be accepted provisionally subject to the permission of the competent authority, to whom the matter shall be reported forthwith.

3. No employee shall in the discharge of his/her official duties deal with any matter or give or sanction any contract to any company or firm / entity or any other person if any member of his/her family is employed in that company or firm or under that person or if employee or any member of his/her family is interested in such matter or contract in any other matter and the employee shall refer every such matter or contract to his/her official superior and the matter or the contract shall thereafter be disposed of according to the instructions of the authority to whom the reference is made.



### **Rule 7. Taking part in demonstration**

No employee of the Company shall engage oneself or participate in any demonstration/gherao/strike or any other activity which involves incitement to an offence or stoppage of or hindrance to work.

### **Rule 7-A. Restriction on political activities of employees of Company**

The following kinds of activities of the employees are prohibited, as the case may be:

- (i) to be an office-bearer of a political party or an organization which takes part in politics ;
- (ii) to take part in or assist in any manner in any movement/agitation or demonstration of a political nature ;
- (iii) to take part in an election to any legislature or local authority ;
- (iv) to canvass in any election to any legislature or local authority.

### **Rule 8. Connection with electronic and print Media**

1. No employee of the Company shall, except with the previous sanction of the Competent Authority, own, wholly or in part, or conduct or participate in the editing or management of, any newspaper or other periodical publication.
2. No, employee of the Company shall, except with the previous sanction of the Competent authority or the prescribed authority, or in the bona fide discharge of his/her duties, participate in a broadcast or contribute any article or write any letter either in his/her own name or anonymously, pseudonymously, or in the name of any other person to any publication.

Provided that no such sanction shall be required if such publication, broadcast or such contribution is of a purely literary, artistic or scientific character.

### **Rule 9. Criticism of Government and the Company**

No employee shall in any electronic and print media or in any document published under his/her name or in the name of any other person or in any communication to the press, or in any public utterances, make any statement:

- a. which has the effect of adverse criticism of any policy or action of the Central or State Governments, or of the Company; or



b. which is capable of embarrassing the relations between the Company or Government and the public.

Provided that nothing in these rules shall apply to any statement made or views expressed by an employee, of purely factual nature which are not considered to be of a confidential nature, in his/her official capacity or in due performance of the duties assigned to the employee.

Provided further that nothing contained in this clause shall apply to bona fide expression of views by the employee as an office-bearer of a recognized trade union for the purpose of safeguarding the conditions of service of such employees or for securing an improvement thereof.

**Rule 10. Evidence before Committee or any other Authority**

- 1) Save as provided in sub-rule (3), no employee of the Company shall, except with the previous sanction of the competent authority, give evidence in connection with any enquiry conducted by any person, committee or authority.
- 2) Where any sanction has been accorded under sub-rule (1), no employee giving such evidence shall criticize the policy or any action of the Central Government or of State Governments, or of the Company.
- 3) Nothing in this rule shall apply to-
  - a. evidence given at any enquiry before an authority appointed by the Government, Parliament or a State Legislature or any Company;
  - b. evidence given in any judicial enquiry; or
  - c. evidence given at any departmental enquiry ordered, by authorities subordinate to the Government.

**Rule 11. Unauthorized communication of information**

No employee shall, except in accordance with any general or special order of the Company or in the performance in good faith of the duties assigned to the employee, communicate, directly or indirectly, any official document or any part thereof to any officer or other employee, or any other person to whom employee is not authorized to communicate such document or information.



## **Rule 12. Gifts**

1. Save as otherwise provided in these rules, no employee of the Company shall accept or permit any member of his/her family or any other person acting on his/her behalf, to accept any gift.

**Explanation** - The expression "gift", shall include free transport, board, lodging or other service or any other pecuniary advantage when provided by any person other than a near relative or a personal friend having no official dealings with the employee.

**Note** - An employee of the Company shall avoid acceptance of lavish or frequent hospitality from any individual or firm having official dealings with the employee.

2. On occasions such as weddings, anniversaries, funerals or religious functions, when the making of gifts is in conformity with the prevailing religious or social practices, an employee of the Company may accept gifts, from his/her near relatives but employee shall make a report to the Competent Authority if the value of the gift exceeds

(i) rupees twenty five thousand in the case of Executives;

(ii) rupees fifteen thousand in the case of Non-Executives;

3. On such occasions as are specified in sub-rule (2), an employee of the Company may accept gifts from his/her personal friends having no official dealings with the employee, but employee shall make a report to the competent authority if the value of any such gift exceeds rupees one thousand five hundred in the case of Executives and Non-Executives;

4. In any other case, an employee of the Company shall not accept or permit any other member of his/her family or any other person acting on his/her behalf to accept any gifts without the sanction of the Competent Authority if the value thereof exceeds rupees Five Thousand in the case of Executives and rupees Two Thousand in case of Non-Executives;

Provided that when more than one gift has been received from the same person/firm within a period of 12 months, the matter shall be reported to the competent authority if the aggregate value of the gifts exceeds Rs.25,000/-, and Rs.15000/- in case of Executives and Non-Executives respectively.



**Rule 12A. Dowry**

No employee of the Company shall-

- i. give or take or abet the giving or taking of dowry; or
- ii. demand, directly or indirectly, from the parents or guardian of a bride or bridegroom, as the case may be, any dowry.

**Explanation:** For the purposes of this rule dowry has the same meaning as in Dowry Prohibition Act, 1961 (28 of 1961) or any amendment, if any.

**Rule 13. Private Trade or employment**

1. No employee of the Company shall except with the previous sanction of the Competent Authority, engage directly or indirectly in any trade or business or undertake any other employment; Provided that an employee may, without such sanction, undertake honorary work of a social or charitable nature or occasional work of literary, artistic or scientific character, subject to the condition that his/her official duties do not thereby suffer.
2. Every employee of the Company shall report to the Competent Authority if any member of his/her family is engaged in a trade or business or owns or manages an Insurance Agency or Commission Agency.
3. No employee of the Company shall, without the previous sanction of the Competent Authority except in the discharge of his/her official duties, take part in the registration, promotion or management of any bank or other company which is required to be registered under the Companies Act, 2013 or other law for the time being in force or any cooperative society for commercial purposes;

Provided that an employee of the Company may take part in the registration, promotion or management of a Consumer/House Building Co-operative Society substantially for the benefit of employees of the Company, registered under the Cooperative Societies Act, 1912 (2 of 1912) or any other law / amendment for the time being in force, or of a literary, scientific or charitable society registered under the Societies Registration Act, 1860 (21 of 1860), or any corresponding law / amendment in force.

4. No employee of the Company shall accept any fee or any pecuniary advantage for any work done by him/her for any public body or any private person without the sanction of the Competent Authority.



**Rule 13-A. With regard to dealing in the shares of Company.**

- (i) A full-time Director or any employee involved in the decision making process of fixation of price of an IPO/FPO of shares of the Company shall not apply either oneself/herself or through any member of his/her family or through any other person acting on his/her behalf for allotment of shares (which includes all types of equity related instruments) in an IPO/FPO of such Company, even out of the category of preferential quota reserved for employees/Directors of the Company.
- (ii) Employees including full time Directors who are in possession of unpublished price sensitive information would be prohibited from dealing/transacting either in their own name or through any member of their family in the shares of their own Company.
- (iii) Full-time Director or employee or any member of his/her family or any person acting on his/her behalf shall not apply for shares out of any preferential quota reserved for employees/Directors of other companies.
- (iv) Employees would be required to disclose to the Company all transactions of purchase/sale in shares worth two months Basic pay or more in value or existing holding/interest in the shares worth Rs. two months Basic pay or more in his/her own Company either in his/her own name or in the name of any family member of employee to report to the Company indicating quantity, price, date of transaction and nature of interest within 4 working days.

**Rule 14. Investment, lending and borrowing**

No employee shall, save in the ordinary course of business with a bank, financial institution or a firm of standing, borrow money from or lend money to or otherwise place oneself under pecuniary obligation to any person with whom employee has or is likely to have official dealings or permit any such borrowing, lending or pecuniary obligation in his/her name or for his/her benefit or for the benefit of any member of his/her family.

**Rule 14-A. Speculation of stock / shares of companies**

An employee shall not speculate in any stock, share or other investment. It may also be explained that frequent purchase or sale or both, of shares, securities or other investments shall be deemed to be speculation within the meaning of this sub-rule.



With a view to enable the administrative authorities to keep a watch over such transactions, an intimation may be sent in the Proforma in Form-3 (on the lines of proforma annexed to DoP&T OM dated 07.02.2019) to the prescribed authority if the total transactions in shares, securities, debentures or mutual funds scheme etc. exceed six months' basic pay of Company employee during the calendar year (to be submitted by 31st January of the subsequent calendar year).

**Rule 15. Insolvency and habitual indebtedness**

1. An employee of the Company shall avoid habitual indebtedness unless the employee proves that such indebtedness or insolvency is the result of circumstances beyond his/her control and does not proceed from extravagance or dissipation.
2. An employee of the Company who applies to be, or is adjudged or declared insolvent shall forthwith report the fact to his/her Competent Authority.

**Rule 16. Movable, Immovable and valuable property**

1. Every employee shall, on first appointment in the Company, submit a return of assets and liabilities in prescribed form giving the particulars regarding:-
  - a. the immovable property inherited by the employee, or owned or acquired by the employee, held by the employee on lease or mortgage, either in his/her own name or in the name of any member of his/her family or in the name of any other person in Form No.1;
  - b. shares, debentures, and cash including bank deposits inherited by the employee (or similarly) owned, acquired, or held by the employee;
  - c. other movable property inherited by the employee or similarly owned, acquired or held by the employee if the value of such property exceeds Rs. 10,000/-.
  - d. debts and other liabilities incurred by employee directly or indirectly in Form No.2;



e. every employee shall, beginning 1<sup>st</sup> January, submit a return of immovable property inherited/owned/acquired once in every two years in Form No.1.

2. No employee shall, except with the previous knowledge of the Competent Authority, acquire or dispose of any immovable property by lease, mortgage, purchase, sale, gift or otherwise, either in his/her own name or in the name of any member of his/her family.

3. No employee of the Company shall, except with the previous sanction of the competent authority, enter into any transaction concerning any immovable or movable property with a person or a firm having official dealings with the employee or his/her subordinate in Form No.4.

4. Every employee of the Company shall report to the Competent Authority every transaction concerning movable property owned or held by the employee in his/her own name or the name of a member of his/her family, if the value of such property exceeds Rs. two months Basic pay. (Form No.5).

5. The Competent Authority may, at any time, by general or special order require an employee to submit, within a period specified in the order a full and complete statement of such movable or immovable property held or acquired by the employee or on his/her behalf or by any member of his/her family as may be specified in the order. Such statement shall, if so required by the Competent Authority, include details of the means by which, or the source from which such property was acquired.

Explanation I - For the purposes of this rule -

the expression "movable property" includes

- a) jewellery, insurance policies, the annual premia of which exceeds 'two months' basic pay of the employee, shares, securities and debentures;
- b) all loans, whether secured or not, advanced or taken by the employee;
- c) motor cars, motor cycles, horses or any other means of conveyance; and
- d) refrigerators, radios, radiograms and television sets.

Explanation II.- For the purpose of this rule 'lease' means, except where it is obtained from, or granted to, a person having official dealings with the employee, a lease of immovable property from year to year or for any term exceeding one year or reserving an yearly rent.



### **Rule 17. Canvassing of non-official or other influence**

No employee shall bring or attempt to bring any outside influence to bear upon any superior authority to further his/her interests in respect of matters pertaining to his/her service in the Company.

### **Rule 18. Bigamous marriages**

- 1) No employee shall enter into, or contract, a marriage with a person having a spouse living; and
- 2) No employee, having a spouse living, shall enter into, or contract, a marriage with any person;

Provided that the **Board** may permit an employee to enter into, or contract, any such marriage as is referred to in clause (1) or clause (2) if it is satisfied that-

- b. such marriage is permissible under the personal law applicable to such employee and the other party to the marriage; and
  - c. there are other grounds for so doing.
3. *The public sector employee who has married or marries a person other than that of Indian nationality, shall forthwith intimate the fact to his/her employer.*

### **Rule 19. Consumption of intoxicating drinks and drugs**

Employee shall -

- a) strictly abide by any law relating to intoxicating drinks or drugs in force in any area in which employee may happen to be for the time being;
- b) not be under influence of any intoxicating drink or drug during the course of his/her duty and shall also take due care that the performance of his/her duties at any time is not affected in any way by the influence of such drink or drug; refrain from consuming any intoxicating drink or drug in a public place;
- c) not appear in a public place in a state of intoxication;
- d) not use any intoxicating drink or drug to excess.

**Explanation:** For the purposes of this rule, 'public place' means any place or premises (including a conveyance) to which the public have, or are permitted to have, access, whether on payment or otherwise.



**Rule 19-A. Prohibition regarding employment of children below 14 years of age.**

No Company employee shall employ to work any child below the age of 14 years.

**Rule 20. Suspension**

- 1) The Appointing Authority or any authority to which it is subordinate or the disciplinary authority or any authority empowered in that behalf by the Chairman and Managing Director by general or special order may place an employee under suspension-
  - a. Where disciplinary proceeding against the employee is contemplated or is pending; or
  - b. Where case against the employee in respect of any criminal offence is under investigation or trial; or
  - c. Where, in the opinion of the authority aforesaid, he/she has engaged oneself in activities prejudicial to the interest of the security of the State.
- 2) An employee who is detained in police / judicial custody, whether on a criminal charge or otherwise for a period exceeding 48 hours shall be deemed to have been suspended with effect from the date of detention, by an order of the Competent Authority , and shall remain under suspension until further orders.
- 3) Where a penalty of dismissal or removal from service imposed upon an employee under suspension is set aside on appeal or on review under these rules and the case is remitted for further inquiry or action or with any other directions, the order of his/her suspension shall be deemed to have continued in force on and from the date of the original order of dismissal or removal and shall remain in force until further orders.
- 4) Where a penalty of dismissal or removal from service imposed upon an employee is set aside or declared or rendered void in consequence of or by a decision of a court of law and the disciplinary authority, on consideration of the circumstances of the case, decides to hold a further inquiry against the employee on the allegations on which the penalty of dismissal or removal was originally imposed, the employee shall be deemed to have been placed under suspension by the Competent authority from the date of the original order of dismissal or removal and shall continue to remain under suspension until further orders.



- 5) An order of suspension made or deemed to have been made under this Rule may at any time be revoked by the authority, which made or is deemed to have made the order or by any authority to which that authority is subordinate.
- 6) An order of suspension made or deemed to have been made under this Rule shall not be valid after a period of ninety days unless it is extended after review, for a further period before the expiry of ninety days.

#### **Rule 21. Subsistence Allowance**

- 1) An employee under suspension shall be entitled to draw subsistence allowance equal to 50 percent, of his/her basic pay provided the disciplinary authority is satisfied that the employee is not engaged in any other employment or business, or profession or vocation. In addition, employee shall be entitled to Dearness Allowance admissible on such subsistence allowance and any other compensatory allowance of which employee was in receipt on the date of suspension provided the suspending authority is satisfied that the employee continues to meet the expenditure for which the allowance was granted.
- 2) Where the period of suspension exceeds six months, the authority which made or is deemed to have made the order of suspension shall be competent to vary the amount of subsistence allowance for any period subsequent to the period of the first six months as follows:-
  - i. The amount of subsistence allowance may be increased to 75 percent of basic pay and allowances thereon if, in the opinion of the said authority, the period of suspension has been prolonged for reasons to be recorded in writing not directly attributable to the employee under suspension;
  - ii. the amount of subsistence allowance may be reduced to 25 percent of basic pay and allowances thereon if in the opinion of the said authority, the period of suspension has been prolonged due to the reasons to be recorded in writing directly attributable to the employee under suspension.
- 3) If an employee is arrested by the Police on a criminal charge and bail is not granted, no subsistence is payable. On grant of bail, if the Competent Authority decides to continue the suspension, the employee shall be entitled to subsistence allowance from the date, the employee is granted bail.

## **Rule 22. Treatment of the period of suspension**

1. When the employee under suspension is reinstated, the Competent Authority may grant to the employee the following pay and allowances for the period of suspension:

- a. if the employee is exonerated and not awarded any of the penalties mentioned in Rule 23 the full pay and allowances which employee would have been entitled to if employee had not been suspended, less the subsistence allowance already paid to the employee; and
- b. if otherwise, such proportion of pay and allowances as the Competent Authority may prescribe.

2. In a case falling under sub-clause (a) the period of absence from duty will be treated as a period spent on duty. In the case falling under sub-clause (b) it will not be treated as a period spent on duty unless the Competent Authority so directs.

## **Rule 23. Penalties**

The following penalties may be imposed, on an employee, as hereinafter provided, for misconduct committed by the employee or for any other good and sufficient reasons.

### **Minor Penalties**

- (a) Censure;
- (b) withholding of increments of pay without cumulative effect;
- (c) withholding of promotion;
- (d) recovery from pay of the whole or part of any pecuniary loss caused to the Company by negligence or breach of order;
- (e) reduction to a lower stage in the time-scale of pay by one stage for a period not exceeding 3 years, without cumulative effect and not adversely affecting his/her terminal benefits.



## **Major Penalties**

(f) save as provided in clause (e), reduction to a lower stage in the time scale of pay for a specified period, with further directions as to whether or not the employee will earn increments of pay during the period of such reduction and whether on expiry of such period, the reduction will or will not have the effect of postponing the future increment of pay;

(g) reduction to a lower time scale of pay, grade, post or Service which shall ordinarily be a bar to the promotion of the employee to the time-scale of pay, grade, post from which employee was reduced, with or without further directions regarding conditions of restoration to the grade or post from which the employee was reduced and his/her seniority and pay on such restoration to that grade or post;

(h) compulsory retirement;

(i) removal from service which shall not be a disqualification for future employment under the Govt. or the Company owned or controlled by the Govt.;

(j) dismissal from service which shall ordinarily be a disqualification for future employment under the Govt. or the Company owned or controlled by the Govt.;

Provided that, in every case in which the charge of possession of assets disproportionate to known sources of income or the charge of acceptance from any person of any gratification, other than legal remuneration, as a motive or reward for doing or forbearing to do any official act is established, the penalty mentioned in clause (i) or (j) shall be imposed:

Provided further that in any exceptional case and for special reasons recorded in writing, any other penalty may be imposed.

## **Rule 24. Disciplinary Authority to impose penalties**

The Disciplinary Authority, as specified in the Schedule, or any authority higher than it may impose any of the penalties specified in Rule 23 on any employee.

## **Rule 25. Procedure for imposing major penalties**

1. No order imposing any of the major penalties specified in Clauses (f) to (j) of Rule 23 shall be made except after an inquiry is held in accordance with this rule.



2. Whenever the disciplinary authority is of the opinion that there are grounds for inquiring into the truth of any imputation of misconduct or misbehavior or violation of infringement of any other provision contained in these Rules or any other rule/procedure/order of the Company for any other good and sufficient reason against an employee which may entail the imposition of a major penalty, it may itself inquire into or appoint any retired Government servant/Public Servant or any other employee of the Company not belonging to the same department of the Company as the employee concerned or an employee from any other Public Sector Undertaking (hereinafter called the Inquiry Authority) to inquire into the truth thereof. Provided that where there is a complaint of sexual harassment within the meaning of Rule 4(3) above, the Complaints Committee for inquiring into such complaints, shall be deemed to be the inquiry authority appointed by the disciplinary authority for the purpose of these rules and the Complaints Committee shall hold, if separate procedure has not been prescribed for the Complaints Committee for holding the inquiry into the complaints of sexual harassments, the inquiry as far as practicable in accordance with the procedure laid down in these rules.

Explanation- Where the disciplinary authority itself holds the inquiry, the Inquiry authority shall be construed as a reference to the disciplinary authority.

3. Where it is proposed to hold an inquiry, the disciplinary authority shall deliver or cause to be delivered to the employee a copy of the articles of charge, the statement of the imputations of misconduct or misbehavior and a list of documents and witnesses by which each article or charges is proposed to be sustained. On receipt of the articles of charge, the employee shall be required to submit his/her written statement of defence, if employee so desires, and also state whether employee desires to be heard in person, within a period of fifteen days, which may be further extended for a period not exceeding fifteen days at a time for reasons to be recorded in writing by the Disciplinary Authority or any other Authority authorized by the Disciplinary Authority on his/her behalf:

Provided that under no circumstances, the extension of time for filing written statement of defence shall exceed forty-five days from the date of receipt of articles of charge.

Explanation—It will not be necessary to show the documents listed with the charge-sheet or any other document to the employee at this stage.

4. On receipt of the written statement of defence, the disciplinary authority may itself inquire into such of the articles of charge as are not admitted,



or, if it considers it necessary so to do, appoint, under sub-rule (2), an Inquiry authority for the purpose, and where all the articles of charge have been admitted by the charge sheeted Employee in his/her written statement of defence, the disciplinary authority shall record its findings on each charge after taking such evidence as it may think fit and shall act in the manner laid down in rule 26.

If no written statement of defence is submitted by the charge sheeted employee, the disciplinary authority may itself inquire into the articles of charge, or may, if it considers it necessary to do so, appoint, under sub-rule (2), an Inquiry authority for the purpose.

5. Where the disciplinary authority itself inquires or appoints an Inquiry authority for holding an inquiry, it may, by an order appoint an employee to be known as the "Presenting Officer" to present on its behalf the case in support of the articles of charge.
6. The employee may take the assistance of any other employee but may not engage a legal Practitioner for the purpose ***unless the Presenting Officer appointed by the disciplinary authority is a legal practitioner, or the disciplinary authority, having regard to the circumstances of the case, so permits.***
7. On the date fixed by the Inquiry authority, the employee shall appear before the Inquiry Authority at the time, place and date specified in the notice. The Inquiry authority shall ask the employee whether employee pleads guilty or has any defence to make and if employee pleads guilty to any of the articles of charge, the Inquiry authority shall record the plea, sign the record and obtain the signature of the employee concerned thereon. The Inquiry Authority shall return a finding of guilt in respect of those articles of charge to which the charge sheeted employee concerned pleads guilty.
8. If the employee does not plead guilty, the Inquiry authority shall adjourn the case to a later date not exceeding thirty days after recording an order that the charge sheeted employee may, for the purpose of preparing his/her defence:
  - i. inspect the documents listed with charge-sheet.
  - ii. submit a list of additional documents and witnesses that employee wants to examine; and
  - iii. be supplied with the copies of the statements of witnesses, if any, listed in the charge-sheet.



*Note :* Relevancy of the additional document and the witnesses referred to in sub-clause 8 (ii) above will have to be given by the employee concerned and the documents and the witnesses shall be summoned if the Inquiry authority is satisfied about their relevance to the charges under inquiry.

9. The Inquiry authority shall ask the authority in whose custody or possession the documents are kept, for the production of the documents or issue a non-availability certificate before the Inquiry Authority within one month of the receipt of such requisition: Provided that if the authority having the custody or possession of the requisitioned documents is satisfied for reasons to be recorded by it in writing that the production of all or any of such documents would be against the public interest or security of the State, it shall inform the Inquiry Authority accordingly and the Inquiry Authority shall, on being so informed, communicate the information to the charge sheeted employee and withdraw the requisition made by it for the production or discovery of such documents.
10. The authority in whose custody or possession the requisitioned documents are, shall arrange to produce the same before the Inquiry authority on the date, place and time specified in the requisition notice.

Provided that the authority having the custody or possession of the requisitioned documents may claim privilege if the production of such documents will be against the public interest or the interest of the Company. In the event, it shall inform the Inquiry authority accordingly.

11. On the date fixed for the inquiry the oral and documentary evidence by which the articles of charge are proposed to be proved shall be produced by or on behalf of the disciplinary authority. The witnesses shall be examined by or on behalf of the Presenting Officer and may be cross-examined by or on behalf of the charge sheeted employee. The Presenting Officer shall be entitled to re-examine the witness on any points on which they have been cross-examined, but not on a new matter, without the leave of the Inquiry Authority. The Inquiry Authority may also put such questions to the witnesses as it thinks fit.
12. Before the close of the prosecution case, the Inquiry authority may, in its discretion allow the Presenting Officer to produce evidence not included in the charge sheet or may itself call for new evidence or recall or re-examine any witness. In such case the charge sheeted employee shall be given opportunity to inspect the documentary evidence before it is taken on record; or to cross-examine a witness, who has been so summoned.



13. When the case for the disciplinary authority is closed, the charge sheeted employee may be required to state his/her defence, orally or in writing as employee may prefer. If the defence is made orally, it shall be recorded and the charge sheeted employee shall be required to sign the record. In either case a copy of the statement of defence shall be given to the Presenting Officer, if any appointed.
14. The evidence on behalf of the charge sheeted employee shall then be produced. The charge sheeted employee may examine himself/herself in his/her own behalf if employee so prefers. The witnesses produced by the charge sheeted employee shall then be examined and shall be liable to cross-examination, re-examination and examination by the Inquiry authority according to the provision applicable to the witnesses for the disciplinary authority.
15. The Inquiry Authority may, after the charge sheeted employee closes his/her case, and shall, if the employee has not examined himself/herself, generally question the charge sheeted employee on the circumstances appearing against the charge sheeted employee in the evidence for the purpose of enabling the charge sheeted employee to explain any circumstances appearing in the evidence against him/her.
16. After the completion of the production of the evidence, the charge sheeted employee and the Presenting Officer may file written briefs of their respective cases within 15 days of the date of completion of the production of evidence.
17. If charge sheeted employee does not submit the written statement of defence referred to in sub-rule (3) on or before the date specified for the purpose or does not appear in person, or through the assisting officer or otherwise fails or refuses to comply with any of the provisions of these rules, the Inquiry authority may hold the enquiry ex parte.
18. Whenever any Inquiry authority, after having heard and recorded the whole or any part of the evidence in an Inquiry ceases to exercise jurisdiction therein, and is succeeded by another Inquiry authority which has, and which exercises, such jurisdiction, the Inquiry authority so succeeding may act on the evidence so recorded by its predecessor, or partly recorded by its predecessor and partly recorded by itself.

Provided that if the succeeding Inquiry authority is of the opinion that further examination of any of the witnesses whose evidence has already been recorded is necessary in the interest of justice, it may recall,



examine, cross-examine and re-examine any such witnesses as herein before provided.

19. (i) After the conclusion of the inquiry, report shall be prepared and it shall contain-

- a. a gist of the articles of charge and the statement of the imputations of misconduct or misbehavior;
- b. a gist of the defence of the charge sheeted employee in respect of each article of charge;
- c. an assessment of the evidence in respect of each article of charge;
- d. the findings on each article of charge and the reasons thereof.

**Explanation**—If in the opinion of the Inquiry authority the proceedings of the inquiry establish any article of charge different from the original articles of the charge, it may record its findings on such article of charge.

Provided that the findings on such article of charge shall not be recorded unless the charge sheeted employee has either admitted the facts on which such article of charge is based or has had a reasonable opportunity of defending oneself against such article of charge.

ii. The Inquiry authority, where it is not itself the disciplinary authority, shall forward to the disciplinary authority the records of inquiry which shall include-

- a) The report of the inquiry prepared by it under sub-clause (i) above;
- b) The written statement of defence if any submitted by the employee referred to in sub-rule (13)
- c) The oral and documentary evidence produced in the course of the inquiry;
- d) Written briefs referred to in sub-rule (16) if any; and
- e) The orders, if any, made by the disciplinary authority and the Inquiry authority in regard to the inquiry.

20. (a) The Inquiry Authority should conclude the inquiry and submit his/her report within a period of six months from the date of receipt of order of his/her appointment as Inquiry Authority.



(b) Where it is not possible to adhere to the time limit specified in clause (a), the Inquiry Authority may record the reasons and seek extension of time from the Disciplinary Authority in writing, who may allow an additional time not exceeding six months for completion of the Inquiry, at a time.

(c) The extension for a period not exceeding six months at a time may be allowed for any good and sufficient reasons to be recorded in writing by the Disciplinary Authority or any other Authority authorized by the Disciplinary Authority on his/her behalf.

#### **Rule 26. Action on the Inquiry Report**

- (1) The Disciplinary Authority, if it is not itself the Inquiry authority may, for reasons to be recorded by it in writing remit the case to the Inquiry authority for fresh or further inquiry and report and the Inquiry authority shall thereupon proceed to hold the further inquiry according to the provisions of Rule 25 as far as may be.
- (2) The Disciplinary Authority shall forward or cause to be forwarded a copy of the report of the inquiry, if any, held by the disciplinary authority or where the disciplinary authority is not the Inquiry authority, a copy of the report of the Inquiry authority, together with its own tentative reasons for disagreement, if any, with the findings of Inquiry authority on any article of charge to the employee who shall be required to submit, if employee so desires, his/her written representation or submission to the Disciplinary Authority within fifteen days, irrespective of whether the report is favourable or not to the employee.
- (3) If the Disciplinary Authority having regard to its findings on all or any of the articles of charge is of the opinion that any of the penalties specified in Rule 23 should be imposed on the employee, it shall, notwithstanding anything contained in Rule 27 make an order imposing such penalty.
- (4) If the Disciplinary Authority having regard to its findings on all or any of the articles of charge, is of the opinion that no penalty is called for, it may pass an order exonerating the employee concerned.

**Rule 26-A.** In the matter of promotion of employees against whom disciplinary / court proceedings are pending or whose conduct is under investigation, the procedure may be followed in accordance with the DoPT OM No. 22011/4/91-Estt.(A) dated 14.09.1992 and subsequent instructions of DOPT on sealed cover procedure.



### **Rule 27. Procedure for imposing minor penalties**

1. Where it is proposed to impose any of the minor penalties specified in clauses (a) to (e) of Rule 23, the employee concerned shall be informed in writing of the imputations of misconduct or misbehavior against the employee and give an opportunity to submit his/her written statement of defence within a specified period not exceeding 15 days. The defence statement, if any, submitted by the employee shall be taken into consideration by the Disciplinary Authority before passing orders.
2. The record of the proceedings shall include –
  - (i) A copy of the statement of imputations of misconduct or misbehavior delivered to the employee;
  - (ii) His/her defence statement, if any; and
  - (iii) The orders of the Disciplinary Authority together with the reason thereof.

### **Rule 28. Communication of orders**

Orders made by the Disciplinary Authority under Rule 26 or Rule 27 shall be communicated to the employee concerned, who shall also be supplied with a copy of

- (i) its finding on each article of charge, **or**  
where the Disciplinary Authority is not the Inquiry authority, a statement of the findings of the Disciplinary Authority together with brief reasons for its disagreement, if any, with the findings of the Inquiry authority and
- (ii) A copy of the advice, if any, given by the Commission (CVC), and
- (iii) where the Disciplinary Authority has not accepted the advice of the Commission, a brief statement of the reasons for such non-acceptance.

### **Rule 29. Common proceedings**

Where two or more employees are concerned in a case, the authority competent to impose a major penalty on all such employees may make an order directing that disciplinary proceedings against all of them may be taken in a common proceedings and the specified authority may function as the Disciplinary Authority for the purpose of such common proceedings.



### **Rule 30. Special procedure in certain cases**

Notwithstanding anything contained in Rule 25 or 26 or 27, the Disciplinary Authority may impose any of the penalties specified in Rule 23 in any of the following circumstances:-

- (i) the employee has been convicted on a criminal charge, or on the strength of facts or conclusions arrived at by a judicial trial ; or
- (ii) where the Disciplinary Authority is satisfied for reasons to be recorded by it in writing that it is not reasonably practicable to hold an inquiry in the manner provided in these Rules; or
- (iii) where the Disciplinary Authority is satisfied that in the interest of the security of the Company, it is not expedient to hold any inquiry in the manner provided in these rules.

### **Rule 30-A. Disciplinary proceedings / Imposition of Penalty on Employees after their Retirement.**

- (i) The Disciplinary Authority may impose penalty on delinquent employees on conclusion of such departmental proceedings which were initiated during their service time and have continued beyond the date of their superannuation.
- (ii) Disciplinary proceedings, if instituted while the employee was in service whether before his/her retirement or during his/her re-employment, shall, after the final retirement of the employee, be deemed to be proceeding and shall be continued and concluded by the authority by which it was commenced in the same manner as if the employee had continued in service.
- (iii) During the pendency of the disciplinary proceeding, the Disciplinary Authority may withhold payment of gratuity, for ordering the recovery from gratuity of the whole or part of any pecuniary loss caused to the Company if the employee is found in a disciplinary proceeding or judicial proceeding to have been guilty of offences/misconduct as mentioned in sub-section (6) of Section 4 of the Payment of Gratuity Act, 1972 or to have caused pecuniary loss to the Company by misconduct or negligence, during his/her service including service rendered on deputation or on re-employment after retirement. However, the provisions of Section 7(3) and 7(3A) of the Payment of Gratuity Act, 1972



should be kept in view in the event of delayed payment, in case the employee is fully exonerated.

**Rule 31. Employees on deputation from the Central Government or the State Government, etc.**

- (i) Where an order of suspension is made or disciplinary proceeding is taken against an employee, who is on deputation to the Company from the Central or State Government, or another public undertaking, or a local authority, the authority lending his/her services (hereinafter referred to as the "lending authority") shall forthwith be informed of the circumstances leading to the order of his/her suspension, or the commencement of the disciplinary proceeding, as the case may be.
- (ii) In the light of the findings in the disciplinary proceeding taken against the employee:-
  - (a) If the Disciplinary Authority is of the opinion that any of the minor penalties should be imposed on the employee, it may pass such orders on the case as it deems necessary after consultation with the Lending Authority; provided that in the event of a difference of opinion between the Disciplinary and the Lending Authority, the services of the employee shall be placed at the disposal of the Lending Authority.
  - (b) If the Disciplinary Authority is of the opinion that any of the major penalties should be imposed on the employee, it should replace his/her services at the disposal of the Lending Authority and transmit to it the proceedings of the enquiry for such action as it deems necessary.
  - (iii) If the employee submits an appeal against an order imposing a minor penalty on the employee under sub-rule (ii) (a), it will be disposed of after consultation with the Lending Authority;

Provided that if there is a difference of opinion between the Appellate Authority and the Lending Authority, the services of the employee shall be placed at the disposal of the Lending Authority, and the proceedings of the case shall be transmitted to that authority for such action as it deems necessary.



### **Rule 32. Appeals**

- (i) An employee may appeal against an order imposing upon the employee any of the penalties specified in rule 23 or against the order of suspension referred to in Rule 20. The appeal shall lie to the authority specified in the schedule.
- (ii) An appeal shall be preferred within one month from the date of communication of the order appealed against. The appeal shall be addressed to the Appellate Authority specified in the schedule and submitted to the authority whose order is appealed against. The authority whose order is appealed against shall forward the appeal together with its comments and the records of the case to the appellate authority within 15 days. The appellate authority shall consider whether the findings are justified or whether the penalty is excessive or inadequate and pass appropriate orders within three months of the date of appeal. The appellate authority may pass order confirming, enhancing, reducing or setting aside the penalty or remitting the case to the authority which imposed the penalty or to any other authority with such direction as it may deem fit in the circumstances of the case.

Provided that if the enhanced penalty which the appellate authority proposes to impose is a major penalty specified in clauses (f) to (j) of Rule 23 and an inquiry as provided in Rule 25 has not already been held in the case, the appellate authority shall direct that such an inquiry be held in accordance with the provisions of Rule 25 and thereafter consider the record of the inquiry and pass such orders as it may deem proper. If the appellate authority decides to enhance the punishment but an inquiry has already been held as provided in Rule 25, the appellate authority shall give a show cause notice to the employee as to why the enhanced penalty should not be imposed upon the employee. The appellate authority shall pass final order after taking into account the representation, if any, submitted by the employee.

### **Rule 33. Review**

Notwithstanding anything contained in these rules, the Reviewing Authority as specified in the Schedule may call for the record of the case within six months of the date of the final order and after reviewing the case pass such orders thereon as it may deem fit.

Provided that if the enhanced penalty, which the Reviewing Authority purposes to impose; is a major penalty specified in clauses (f) to (j) of Rule 23 and an inquiry as provided under Rule 25 has not already been held in the case, the reviewing authority shall direct that such an inquiry be held in accordance with the provisions of Rule 25 and thereafter consider the record of the inquiry and pass such order as it may deem proper. If the Reviewing Authority decides



to enhance the punishment but an inquiry has already been held in accordance with the provisions of Rule 25, the Reviewing Authority shall give show cause notice to the employee as to why the enhanced penalty should not be imposed upon the employee. The reviewing authority shall pass final order after taking into account the representation, if any, submitted by the employee.

**Rule 34. Service of orders, notices, etc.**

Every order, notice and other process made or issued under these rules shall be served in person on the employee concerned or communicated to the employee by registered post at his/her last known address.

**Rule 35. Power to relax time-limit and to condone delay**

Save as otherwise expressly provided in these rules, the authority competent under these rules to make any order may, for good and sufficient reasons or if sufficient cause is shown, extend the time specified in these rules for anything required to be done under these rules or condone any delay.

**Rule-36 Pre-mature retirement in certain cases**

- (i) The Competent Authority shall, if it is of the opinion that it is in the public interest so to do, have the absolute right to retire any employee of the Company by giving him notice of not less than three months in writing or three months' pay and allowances in lieu of such notice:-
  - a. if he is, in the post of an Executive and had entered service before attaining the age of 35 years, after he has attained the age of 50 years;
  - b. in any other case after he has attained the age of 55 years.
- (ii) Each Unit and the Corporate Office shall constitute a Review Committee consisting of two Members at appropriate level with the approval of the Competent Authority to which all such cases shall be referred for recommendation as to whether the employee concerned should be retained in service or retired from service in public interest.
- (iii) A Register of Employees who are due to attain the age of 50/55 years shall be maintained and a scrutiny thereof shall be undertaken at the beginning of every quarter and the review undertaken as per the following schedule:



S. No	Quarter in which review is to be made	Cases of employees who will be attaining the age of 50/55 years
1	January to March	July to September of the same year
2	April to June	October to December of the same year
3	July to September	January to March of the next year
4	October to December	April to June of the next year

(iv) The Review Committee so constituted shall, while considering the case of an employee for pre-mature retirement, take into consideration, his entire service records, his APAR dossier, his conduct and integrity, complaints received against him, etc.

(v) 'Competent Authority' for this Rule means the Chairman and Managing Director of the Company.

Provided that this Rule shall not apply to CMD and other Functional Directors and instructions issued by PESB/DoPT from time to time including those issued vide letter No. 13/07/2010-PESB dated 13.05.2011 and No.5/6/2010-PESB dated 28.06.2011 regarding confirmation and extension of tenure etc. of Board Level Appointees of CPSEs will continue to be followed".

### **Rule 37 Savings**

1. Nothing in these rules shall be constructed as depriving any person to whom these rules apply, of any right of appeal which had accrued to the employee under the rules, which have been superseded by these rules.
2. An appeal pending at the commencement of these rules against an order made before the commencement of these rules shall be considered and orders thereon shall be made, in accordance with these rules.
3. The proceedings pending at the commencement of the rules shall be continued and disposed as far as may be, in accordance with the provisions of these rules, as if such proceedings were proceedings under these rules.
4. Any misconduct, etc., committed prior to the issue of these rules which was a misconduct under the superseded rules shall be deemed to be a misconduct under these rules.



### **Rule 38. Removal of doubts**

Where a doubt arises as to the interpretation of any of these rules, the matter shall be referred to the Board for final decision.

### **Rule 39. Amendments**

The Board may amend, modify or add to these rules, from time to time, and all such amendments, modifications or additions shall take effect from the date stated therein.

\*\*\*\*\*



**SCHEDULE****AUTHORITIES TO IMPOSE PENALTIES UNDER RULE 23 OF SPMCIL CONDUCT DISCIPLINE AND APPEAL RULES, 2020**

S. No.	Level of Employees	Disciplinary Authority (for both minor and major penalty)	Appellate Authority	Reviewing Authority
1	CMD and All Functional Directors	President of India / Authority empowered in that behalf	President of India	President of India
2	Executives in E-8 & E-7 Levels (in any Discipline/ functional area)	CMD	Board of Directors	Board of Directors
3	Executives in E-6, E-5 & E-4 Levels (in any Discipline/ functional area)	Director	CMD	Board of Directors
4	Executives in E-3, E-2 & E-1 Levels ( in any Discipline/ functional area)	Chief General Manager (E-8)	Director	CMD
5	Supervisory Cadre in S-1 & S-2/ A-1 & A-2/P1 & P-2	Addl. General Manager (E-6)	Chief General Manager (E-8)	Director
6	Workmen in W-1 to W-6/B-3 to B-5/M-1 to M-6	Deputy General Manager (E-4)	Addl. General Manager (E-6)	Chief General Manager (E-8)



**LEVEL & DESIGNATIONS:**

S. No	LEVEL / DESIGNATION	PAY SCALES (IDA) 3 <sup>rd</sup> PRC
1	<u>Top Management</u>	
	CMD Functional Directors	2,00,000-3,70,000 1,80,000-3,40,000
2	<u>Senior Management</u>	
	E-9 Executive Director*	1,50,000-3,00,000
	E-8 Chief General Manager	1,20,000-2,80,000
	E-7 General Manager	1,00,000-2,60,000
3	<u>Middle Management</u>	
	E-6 Addl. General Manager	90,000-2,40,000
	E-5 Joint General Manager	80,000-2,20,000
	E-4 Deputy General Manager	70,000-2,00,000
4	<u>Junior Management</u>	
	E-3 Manager	60,000-1,80,000
	E-2 Deputy Manager	50,000-1,60,000
	E-1 Assistant Manager	40,000-1,40,000
5	<u>Supervisors</u>	
	S-2/A-2/P-2 Senior Supervisor	29,000-1,10,000
	S-1/A-1/P-1 Supervisor	26,000-1,00,000
6	<u>Office Staff</u>	<b>2<sup>nd</sup> PRC IDA</b>
	B-4	8500-20850
	B-3	8350-20470
7	<u>Workmen</u>	<b>7<sup>th</sup> CPC Pay Matrix (CDA)</b>
	W-6/M-6	Level 6
	W-5/M-5	Level 5
	W-4/M-4	Level 4
	W-3/M-3	Level 3
	W-2/M-2	Level 2
	W-1/M-1	Level 1/7750-19040 (2 <sup>nd</sup> PRC)

\* Post not in operation yet



**General Conditions:**

1. Where an Authority lower than the Disciplinary Authority suspends an employee under any compelling circumstances, a formal report shall be made to the Disciplinary Authority immediately after suspension for ratification.
2. Where the Authority specified in this Schedule does not exist, the powers may be exercised by higher Authority.
3. The Authority specified in this Schedule shall exercise the powers conferred on them irrespective of whether such Authority is the Disciplinary Authority or not under any rule.
4. The word 'Functional Director' appearing in the CDA Rules and the Schedules thereto means whole time Director of the Company.
5. The powers indicated above will be exercised by the respective concerned Authorities in respect of the employees working under their supervision and control.

\*\*\*\*\*



# Annexure-I-C

## "Committee for Review of suspension cases in respect of employees of different categories working in the Units and the Corporate Office"

Sl. No.	Level of Employees in the Unit	Reviewing Committee	Approving Authority
1.	Workmen in W1-W6 Cadre  Secretarial and Office Staff B-3 to B-5 Level	E-6 AGM(TO) E-4 DGM of concerned Deptt./Area E-4 DGM of other Deptt./area	CGM of the concerned Unit
2.	Supervisor in S-1 & S-2 Cadre Supervisor in A-1 & A-2 level	E-8 CGM of the Unit E-6 AGM of the Unit E-6 AGM of other Unit	CGM of the concerned Unit
3.	Executives of E-1 to E-3 Level	Concerned Director E-8 CGM of the Unit E-8 CGM of other Unit	Concerned Director
4.	Executives of E-4 to E-6 Level	Director - Tech. Director - HR Director - Fin.	CMD
5.	Executives of E-7 to E-8 Level	Director - Tech. Director - HR Director - Fin.	CMD

Sl. No.	Level At Corporate Office	Reviewing Committee at Corporate	Approving Authority
1.	Secretarial and Office Staff B-3 to B-5 Level	E-7 GM (HR) E-6 Concerned AGM(TO) E-4 DGM of concerned Deptt./Area	GM
2.	Secretarial and Office Staff A-1 to A-2 Level	GM(HR) E-6 AGM of concerned Deptt./Area E-6 AGM of other Deptt./Area	CGM/Concerned Director
3.	Executives of Corporate Office E-1 to E-3 Level	Concerned Director CGM of concerned Deptt./Area CGM of other Deptt./Area/Unit	Concerned Director
4.	Executives of Corporate Office E-4 to E-6 level	Director (T) Director (HR) Director (Finance)	CMD
5.	Executives of Corporate Office E-7 to E-8 level	Director (T) Director (HR) Director (Finance)	CMD







**FORM NO. - 1**

**STATEMENT SHOWING DETAILS OF IMMOVABLE PROPERTY UNDER RULE 16 OF SPMCIL CDA RULES, 2020 ON FIRST APPOINTMENT AND ALSO ON 1ST JANUARY ONCE IN EVERY TWO YEARS -  
(i.e. LANDS / HOUSE / SHOPS / OTHER BUILDING ETC).**

<b>NAME :</b>		<b>DT. OF JOINING :</b>	
<b>DESIGNATION :</b>		<b>BASIC SALARY :</b>	

Sl. No.	Details/Description of property and its location (See Notes 1 & 5 overleaf)House/Building/Land No.	If not in own name, state in whose name held and his/her relationship, if any, to the employee 3	How and when acquired. (See Notes 2 & 6 overleaf) 4	Value of the Property. (See Notes 3 overleaf) 5	Total annual income from the property 6	Remarks 7
1	2					



Note : 1	If the property is not wholly owned the extent of share may also be indicated.
Note : 2	For the purpose of Col.4 the term 'lease' would mean a lease of immovable property from year to year or for any term exceeding one year of reserve yearly rent. When, however, the lease of immovable property is obtained from a person having official dealings with the employee, such a lease should 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.
Note : 3	In Column 5 should be shown :
(a)	Where the property has been acquired by purchase, mortgage or lease, the price of premium paid for such acquisition.
(b)	Where it has been acquired by lease the total annual rent thereof also and
(c)	Where the acquisition is by inheritance, gift or exchange the approximate value of the property so acquired.
Note : 4	The Return in respect of immovable property may also be submitted in this Form as on 1st January in every two years.
Note : 5	Name of District, Division, Taluka & Village in which the property is situated and also its distinctive number etc. will be given in Col.2
Note : 6	Whether by purchase, mortgage, lease, inheritance, gift or otherwise and name with details or person/persons from whom acquired. Address and connection, if any, with the person/persons concerned are also to be given in Column.

Signature : .....

Date : .....



## FORM NO. - 2

STATEMENT SHOWING DETAILS OF ASSETS (OTHER THAN IMMOVABLE PROPERTY) AND LIABILITIES UNDER RULE 16 OF SPMCIL CDA RULES, 2020 ON FIRST APPOINTMENT AND ON EVERY TRANSACTION OF MOVABLE PROPERTY WHERE VALUE OF SUCH PROPERTY EXCEEDS TWO MONTHS BASIC PAY OF THE EMPLOYEE.

NAME :		DT. OF JOINING :	
DESIGNATION :		BASIC SALARY :	

ASSETS						LIABILITIES	
A. Liquid Assets & Investment (including deposits & Life Insurance Policies)						1. Liabilities to the Bank/Financial Institution	
Description	Amount/original price	Held in the name of & relationship	How acquired	Annual income derived			
1	2	3	4	5			
						2. Liabilities to friends & relatives.	
B. Movable properties ( Ref. Note 3 overleaf)						3. Other liabilities, if any	
1	2	3	4	5			
						Date :	Signature

N.B. : Additional sheets may be attached where necessary.



Note : 1	In the case of shares, securities, debentures etc., face value and approximate market value as on the date of statement may be mentioned.
Note : 2	In the case of Life Insurance Policies the date of maturity also may be stated.
Note : 3	Under 'B' information may be given regarding items like : (a) gold/gold ornaments (approximate weight only be stated), (b) Silver including ornaments etc. (approximate weight only), (c) Other precious metals, items of jewellery, precious stones forming part of jewellery etc. Approximate value to be stated (i) Car, (ii) Scooters/Motor Cycles, (iii) Refrigerator/Air Conditioners, Radio/Radiogram/Television sets and any other articles the value of which individually exceed two months basic pay of the employee.
Note : 4	In Column 4, may be indicated whether the property was acquired by purchase, gift or otherwise.
Note : 5	Under liabilities, brief details should be given.
<p>Signature : .....</p> <p>Date : .....</p>	

43

## STATEMENT IN RESPECT OF INVESTMENTS

Form for giving information under Rule 14A of SPMCIL CDA Rules-2020 where total transactions in shares, debentures and investment in mutual fund schemes etc. exceed six months basic pay during the calendar year to be submitted by 31 <sup>st</sup> January of the subsequent year.							
NAME :		DT. OF JOINING :					
DESIGNATION :		BASIC SALARY :					
Sl. No.	Name of the Company	No. of Shares	Face Value	Cost of Acquisition	Whether promoters'/ employees' quota	How acquired	Position held at the time of acquisition and if the company had any borrowing or other facilities at that time.
1	2	3	4	5	6	7	8
	A: SELF						
	B: SPOUSE & DEPENDENT CHILDREN						
2	Any addition/deletion to this statement as on 1st January ..... and the profit/loss incurred by me are given below :						
Place :							
Date : .....							
Signature :							



Form for giving information under Rule 14A of SPMCIL CDA Rules-2020 where total transactions in shares, debentures and investment in mutual fund schemes etc. exceed six months basic pay of the employee during the calendar year (return to be submitted by 31<sup>st</sup> January of the subsequent calendar year)

1	Name and Designation	
2	Scale of Pay & Grade Pay	
3	Details of each transaction made in shares, securities, debentures, mutual funds Scheme etc., during the calendar year. Also specify whether shares obtained from Promoters / Directors / Employee quote.	
4	Particulars of the party/firm with whom transaction is made.	
	a) Is party related to you ?	
	b) Did you have dealing with the party in your official capacity at any time or is the applicant likely to have any dealings with you in the near future ?	
5	Source or sources from which financed?	
	a) Personal Savings	
	b) Other sources giving details	
6	Any other relevant fact which you may like to mention	

**Declaration**

I hereby declare that the particulars given above are true.

Place :	
Date :	
Signature : .....	

FORM NO. - 4

Form for giving prior intimation or seeking previous approval under Immovable Property under Rule 16 of SPMCIL CDA RULES - 2020

1	Name and Designation	
2	Scale of Pay & Basic Pay with Grade Pay	
3	Purpose of application - sanction for transaction / prior intimation of transaction	
4	Whether property is being acquired or disposed of	
5	Probable date of acquisition / disposal of property	
6	Mode of acquisition / disposal	
7	(a) Full details about location, viz., Municipal No., Street/Village/Taluk/District and State in which situated	
	(b) Description of the property, in the case of cultivable land, dry or irrigated land	
	(c) Whether freehold or leasehold	
	(d) Whether the applicant's interest in the property is in full or part (in case of partial interest, the extend of such interest must be indicated)	
	(e) In case the transaction is not exclusively in the name of the employee, particulars of ownership and share of each member	
8	Sale/purchase price of the property (Market value in the case of gifts)	



9	In cases of acquisition, source or sources from which financed / proposed to be financed -		
	(a)	Personal savings	
	(b)	Other sources giving details	
10	In the case of disposal of property, was requisite sanction / intimation obtained / given for its acquisition? (A copy of the sanction / acknowledgement should be attached)		
11	(a)	Name and address of the party with whom transaction is proposed to be made	
	(b)	Is the party related to the applicant? If so, state the relationship	
	(c)	Did the applicant have any dealings with the party in his official capacity at any time, or is the applicant likely to have any dealings with him in the near future?	
	(d)	How was the transaction arranged? (Whether through any statutory body or a private agency through advertisement or through friends and relatives. Full particulars to be given)	
12	In case of acquisition by gift, whether sanction is also required under Rule 12 of the SPMCIL CDA RULES - 2020		
13	Any other relevant fact which the applicant may like to mention		
	<b>DECLARATION</b>		
	I _____, hereby declare that the particulars given above are true. I request that I may be given permission to acquire / dispose of property as described above from/to the party whose name is mentioned in Item 11 above.		
	OR		

*[Signature]*

I, \_\_\_\_\_, hereby intimate the proposed acquisition/ disposal of property by me as detailed above. I declare that the particulars given above are true:

Station:

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Designation:

Note 1 - In the above form, different portions may be used according to requirement.

**Note 2 – Where previous sanction is asked for, the application should be submitted at least 30 days before the proposed date of the transaction.**



**FORM NO. - 5**

Form for giving intimation or seeking previous approval for transaction in respect of Movable Property under Rule 16 of SPMCIL CDA RULES - 2020

1	Name and Designation		
2	Scale of Pay & Basic Pay with Grade Pay		
3	Purpose of application - Sanction for transaction / prior intimation of transaction		
4	Whether property is being acquired or disposed of		
5	(a)	Probable date of acquisition or disposal of property	
	(b)	If the property is already acquired / disposed of - Actual date of transaction	
6	(a)	Description of the property (e.g. Car / Scooter / Motor Cycle / Refrigerator / Radio / Jewellery / Loans / Insurance Policies, etc.	
	(b)	Make, model (and also Registration No. in case of vehicles), where necessary	
7	Mode of acquisition / disposal (purchase / sale, gift, mortgage, lease or otherwise)		
8	Sale/purchase price of the property (Market value in the case of gifts)		
9	In cases of acquisition, source or sources from which financed / proposed to be financed -		
	(a)	Personal savings	
	(b)	Other sources giving details	
10	In the case of disposal of property, was requisite sanction / intimation obtained / given for its acquisition? (A copy of the sanction /		

	acknowledgement should be attached)		
11	(a)	Name and address of the party with whom transaction is proposed to be made / has been made	
	(b)	Is the party related to the applicant? If so, state the relationship	
	(c)	Did the applicant have any dealings with the party in his official capacity at any time, or is the applicant likely to have any dealings with him in the near future?	
	(d)	How was the transaction arranged? (Whether through any statutory body or a private agency through advertisement or through friends and relatives. Full particulars to be given)	
12	In case of acquisition by gift, whether sanction is also required under Rule 17 of the SPMCIL CDA RULES - 2010		
13	Any other relevant fact which the applicant may like to mention		
<b>DECLARATION</b>			
	I, _____, hereby declare that the particulars given above are true. I request that I may be given permission to acquire / dispose of property as described above from/to the party whose name is mentioned in Item 11 above.		
	OR		
	I, _____, hereby intimate the proposed acquisition/ disposal of property by me as detailed above. I declare that the particulars given above are true:		
	Station:		Signature:
	Date:		Designation:
	Note 1 - In the above form, different portions may be used according to requirement.		
	Note 2 - Where previous sanction is asked for, the application should be submitted at least 30 days before the proposed date of the transaction.		