

**Annexure – I to Final Modalities, 2024 for SBE-III**  
**(Section 6.2 of Final Modalities)**

**Code of Discipline**

All the contesting registered Trade Unions undertake in writing that they will observe the Code of Discipline.

**I. Management and Union(s) agree –**

- (a) that no unilateral action should be taken in connection with any industrial matter and that disputes should be settled at appropriate level;
- (b) that the existing machinery for settlement of disputes should be utilized with the utmost expedition;
- (c) that there should be no strike or lock-out without notice;
- (d) that affirming their faith in democratic principles, they bind themselves to settle all future differences, disputes, and grievances by mutual negotiation, conciliation and voluntary arbitration;
- (e) that neither party will have recourse to (i) coercion, (ii) intimidation, (iii) victimization or (iv) go-slow;
- (f) that they will avoid, (i) litigation, (ii) sit-down and stay in strikes and (iii) lockouts ;
- (g) that they will promote constructive co-operation between their representatives at all levels and as between workers themselves and abide by the spirit of agreements mutually entered into ;
- (h) that they will establish upon a mutually agreed basis, a grievance procedure which will ensure a speedy and full investigation leading to settlement;
- (i) that they will abide by various stages in the grievance procedure and take no arbitrary action which would by-pass this procedure; and
- (j) that they will educate the management personnel and workers regarding their obligations to each other.

## **II. Managements agree –**

- (a) not to support or encourage any unfair labour practice such as:
  - (i) interference with the right of employees to enroll or continue as Union members,
  - (ii) discrimination, restraint or coercion against any employee because of recognized activity of Trade Unions and
  - (iii) victimization of any employee and abuse of authority in any form ;
- (b) to take prompt action for (i) settlement of grievances and (ii) implementation of settlements, awards, decisions and orders;
- (c) to display in conspicuous places in the Railway offices the provisions of this Code;
- (d) to distinguish between actions justifying immediate discharge and those where discharge must be preceded by warning, reprimand, suspension or some other form of disciplinary action and to arrange that all such disciplinary action should be subject to an appeal through normal grievance procedure;
- (e) to take appropriate disciplinary action against its officers and members in cases where enquiries reveal that they were responsible for precipitation of action by workers leading to indiscipline.

## **III. Trade Union(s) agree –**

- (a) not to engage in any form of physical duress ;
- (b) not to permit demonstrations which are not peaceful and not to permit Rowdyism in demonstration ;
- (c) that their members will not engage or cause other employees to engage in any Union activity during working hours, unless as provided for by law, agreement or practice;

(d) to discourage unfair labour practices such as (i) negligence of duty, (ii) careless operation, (iii) damage to property, (iv) interference with or disturbance to normal work and (v) insubordination ;

(e) to take prompt action to implement awards, agreements, settlements and decisions ;

(f) to display in conspicuous places in the Union Offices, the provisions of this Code; and

(g) to express disapproval and to take appropriate action against office-bearers and members for indulging in action against the spirit of this Code.

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**Annexure – II to Final Modalities, 2024 for SBE-III**  
**(Section 6.4 of Final Modalities)**

**PROVISIONS RELATED TO ENFORCEMENT OF “CODE OF  
CONDUCT/DISCIPLINE”**

<b>S. No.</b>	<b>Offence/ Misconduct</b>	<b>Proposed Penalty</b>	<b>Authority competent to initiate action</b>	<b>Authority competent to impose penalty</b>	<b>Appellate Authority</b>
	<b>(A) OFFENCES ATTRACTING IMPOSITION OF MONETARY FINES</b>				
1.	Convening/holding public meetings in connection with election and display of any election matter through various media sources and cultural performances during period of forty eight (48) hours prior to the hour fixed for commencement of poll and during the duration of polling process.	Fine up to Rs.10,000/- on Trade Unions.	Any officer authorized to oversee free and fair conduct of polling process	Presiding Officer	Returning Officer
2.	Any person illegally hiring or procuring any vehicle for free conveyance of any voter other than self and the polling agent, to or from any polling booth commits an offence.	Fine up to Rs.10,000/- on Trade Unions.	Polling officer or any officer authorized to oversee free and fair conduct of polling process	Presiding Officer	Returning Officer
3.	Whoever prints or publishes any election pamphlets, posters, handbills or placards which do not bear on its face the name and the	Fine up to Rs.10,000/- on Trade Unions.	Sr. DPO/DPO/ Deputy CPO/ SPO authorized to oversee	Presiding Officer	Returning Officer

<b>S. No.</b>	<b>Offence/ Misconduct</b>	<b>Proposed Penalty</b>	<b>Authority competent to initiate action</b>	<b>Authority competent to impose penalty</b>	<b>Appellate Authority</b>
	address of the printer and the publisher commits an offence.		conduct of free and fair elections		
4.	Canvassing in or near polling station, soliciting votes and persuading/coercing the voters to vote in a particular manner or not to vote for a particular manner or election on the date of poll is prohibited and its violation constitutes an offence.	Fine up to Rs.5,000/- on Trade Unions.	Polling officer or any officer authorized to oversee free and fair conduct of polling process	Presiding Officer	Returning Officer
5.	Causing damage to Railway Property in course of canvassing by defacing/spoiling fixed and moveable assets and structures	Fine up to Rs.20,000/- levied on Trade Unions.	Polling officer or any officer authorized to oversee free and fair conduct of polling process	Presiding Officer	Returning Officer
6.	Lodging false/incorrect complaint against another Trade Union	Fine up to Rs. 10,000/- on the complainant Union.	Sr. DPO/DPO/ Deputy CPO/ SPO authorized to oversee conduct of free and fair elections	Presiding Officer	Returning Officer

S. No.	Offence/ Misconduct	Proposed Penalty	Authority competent to initiate action	Authority competent to impose penalty	Appellate Authority
	<b>(B)OFFENCES ATTRACTING PROVISIONS OF Bhartiya Nyay Sanhita (BNS) and RAILWAY SERVANTS(D&amp;A) RULES, 1968</b>				
1.	All officials performing duty of recording/counting of votes is liable to maintain secrecy of the voting and its violation constitutes an offence.	Liable to attract D&AR Rules 1968	Polling/Pre siding authorized officer overseeing counting of votes	As per D&A Rules	As per D&A Rules
2.	Misconduct in the polling station or disobedience of directions of the polling officer shall result in removal of the voter from polling station and any such voter attempting to re-enter the polling station without the permission of polling officer is liable to be taken up for criminal misconduct.	As per Bhartiya Nyay Sanhita (BNS)	Polling officer or any other officer authorized to oversee free and fair conduct of polling process	As per BNS	As per BNS
3.	No person except on duty RPF/Police officials deputed to conduct elections/ maintain law and order at the polling station shall be permitted to carry arms at the voting booths and its violation shall be treated as an offence.	As per BNS / D&A Rules	Polling officer or any other officer authorized to oversee free and fair conduct of polling process	As per BNS / D&A Rules	As per BNS/ D&A Rules
4.	Any person suspected to have removed ballot paper out of polling station can be searched/	As per BNS	Polling officer or any other officer	As per BNS	As per BNS

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	detained by the Polling officer and is liable to be taken up under the criminal proceedings		authorized to oversee free and fair conduct of polling process		
5.	Booth capturing viz. seizure of polling station/place fixed for polling and counting of votes, allowing only supporters to vote, preventing/coercing other voters from exercising votes and making polling authorities surrender the ballot papers/ shall constitute an offence	As per BNS	Polling officer or any other officer authorized to oversee free and fair conduct of polling process	As per BNS	As per BNS
6.	Any act of fraudulently defacing/destroying any ballot paper/official mark on any ballot paper or tampering with the ballot box in any other manner by the voter shall constitute an offence.	As per BNS	Polling officer or any other officer authorized to oversee free and fair conduct of polling process	As per BNS	As per BNS
7.	Voting or applying for ballot paper in a fictitious name, re-applying for voting in own name and abetting, procuring or attempting to procure voting in any such way shall constitute an offence of	Liable to attract D&A Rules	Polling/Presiding/officer authorized officer overseeing counting of votes.	As per D&A Rules	As per D&A Rules

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	impersonation.				
8.	Whoever voluntarily causes simple or grievous hurt or assaults to deter a public servant from discharging his duty	As per BNS/ D&A Rules	Polling officer or any other officer authorized to oversee free and fair conduct of polling process	As per BNS/ D&A Rules	As per BNS/ D&A Rules
09.	Anyone who i) gives a gratification to any person with the object of inducing him or any other person to exercise any electoral right or of rewarding any person for having exercise any such right; or ii) accepts either for himself or for any other person any gratification as a reward for exercising any such right; or for inducing or attempting to induce any other person to exercise any such right, commits the offence of bribery: constitutes an offence.	As per BNS/ D&A Rules	Polling officer or any other officer authorized to oversee free and fair conduct of polling process	As per BNS/ D&A Rules	As per BNS/ D&A Rules



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	<b>(C) OFFENCES LEADING TO DISQUALIFICATION</b>				
1.	Promoting feeling of enmity or hatred on grounds of religion, race, caste, community or language, gender amongst different classes/ categories of Railway Servants.	Individuals found guilty of such misconduct or found abetting such misconduct shall not be extended facilities available to office bearers of unions in the event of her/his union being recognized on the basis of election results.	On days of polling the polling officer & Presiding officer and prior to that Sr. DPO/ DPO/Deputy CPO/SPO of the concerned division/workshop shall be responsible for initiating action	Returning officer through Presiding officer	General Manager
2.	Filing of false affidavit/undertaking/ declaration, or concealing any information in the affidavit filed by the Trade Union.	Disqualification to contest the elections/revocation of recognition granted of Trade Union.	Returning officer	General Manager through Returning officer	General Manager

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