Employee Progressive Discipline Policy

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I. Scope

The Employee Progressive Discipline Policy ("this Policy") is effective January 1, 2017 and supersedes any previous policy and/or practice on employee grievance redressal. This Policy applies to all employees of Ujaas Energy Ltd. (UEL).

II. Purpose

This Policy defines the measures adopted by the Company to correct the conduct of an employee who violates Company policies and Code of Conduct, and/or fails to meet the standards of performance.

III. Levels of Progressive Discipline Counselling

Progressive Disciplinary counselling shall be administered to the erring employees, in accordance with the stages listed below, and based on the occurrence and severity of the infraction:

- Verbal Counselling
- Written Warning
- Final Written Warning
- Recommended Disciplinary Action

IV. Procedure

The procedure for disciplinary counselling and corrective action is defined below:

- When an employee's behaviour is identified by the management to be such that it merits formal written corrective action, the situation is reviewed by the management and the level of disciplinary counselling is determined based on the recurrence and/or severity of the infraction:

Verbal Counselling/Written Warning/Final Written Warning

- The manager fills the Progressive Discipline (PDP) Form available with the HR Representative

- The manager administers the PDP form to the employee and explains the nature of the infraction, warning the employee to avoid recurrence of the same
- Following this, the employee and the manager sign the form and the signed form is handed over to HR team to be filed in the employee's personnel records.

Recommended Disciplinary Action
- The manager fills the Progressive Discipline (PDP) Form available with the HR Representative
- HR team would review the evidence and case history and share guidance on next steps
- In the event that an employee's behaviour warrants disciplinary action/termination based on recurrence and/or severity of the infraction, an approval for action/termination is obtained as per the matrix below:

Employee Designation Category	Approval Level
All Employees	HR + Management

- The manager administers the approved PDP form to the employee in the presence of the HOD/COO and explains the nature of the infraction, warning the employee to avoid recurrence of the same
- Following this, the employee and the manager sign the form and the signed form is handed over to HR team to be filed in the employee's personnel records.
- HR Representative to complete requisite disciplinary action formalities like exit formalities in case of a decision to terminate
- If an employee is on PDP counselling, his/her resignation from UEL shall be considered as acceptance of the charges therein and shall be accepted based on the discretion of Human Resources. Such a separation shall be treated as involuntary separation, in line with the ongoing investigation and/or acceptance of charges by the employee

V. Common Infractions

Appended below is a list of common infractions: The definitions of actions in the table below are only indicative and the need and level of discipline is subject to investigation outcome conducted by Human Resources

PDP Action Matrix				
Category	Counselling Levels			
	Verbal	Written Warning	Final Written Warning	Disciplinary Action
Attendance				
Unauthorized Absenteeism	Applicable	Applicable	Applicable	Applicable
Tardiness				
Schedule Adherence	Applicable	Applicable	Applicable	Applicable
Insubordination				
Non-cooperation	Applicable	Applicable	Applicable	Applicable
Misconduct				

Indecent Behavior	Applicable	Applicable	Applicable	Applicable
Violent Behavior/Criminal Intent	Applicable	Applicable	Applicable	Applicable
Negligence	Applicable	Applicable	Applicable	Applicable
Misrepresentation/Suppression of facts		Applicable	Applicable	Applicable
Misappropriation and fraud			Applicable	Applicable
Harassment			Applicable	Applicable
Non-performance				
Non adherence and delivery on KRAs			Applicable	Applicable
Policy Violation				
Confidentiality Breach				Applicable
Non-Disclosure Breach				Applicable
Integrity				Applicable
Theft/Information Security				Applicable
Alcohol/Drug Influence during Working Hours				Applicable
Violation of legal, safety or health regulations			Applicable	Applicable

- HR Representative would be required to investigate the incident appropriately to categorize the criticality/severity and may exercise accelerated counselling as appropriate

- Infractions Defined:

- *Attendance: This refers to the violation of the Leave Policy*
- *Tardiness: Non –adherence to work schedule is considered to be tardiness*
- *Non-Performance: An employee's inability to meet the predetermined monthly performance targets is reviewed through the PMS/PIP process and if employee displays continued non-performance then action is taken per the PDP process*
- *Insubordination: This refers to the lack of co-operation during business changes or high volume demands, consistent demonstration of disregard for leadership and inability to take directions*
- *Misconduct: Misconduct is defined as wrongful, improper, or unlawful conduct motivated by premeditated or intentional purpose or by obstinate indifference to the consequences of one's actions. Instances of Gross Misconduct shall be addressed as per guidelines set forth by the Law department.*
- *Policy Violation: Any violation of an UEL policy or predetermined practice*

VI. Breach of Policy

The Company reserves the right to take disciplinary action or initiate criminal proceedings as and when it considers necessary in respect of all reported cases of violation of this policy. Disciplinary action may include termination of services of employees and/or legal action against those who violate the spirit of this policy, regardless of whether unlawful conduct has occurred or not. This Policy document is made

available with a clear objective to establish the standard approach in addressing issues discussed in this Policy.

VII. Policy Changes

UEL has the absolute right, in its sole discretion, to interpret and modify, amend and or terminate this Policy with respect to any employee, group of employees or in its entirety at any time.
The decision to terminate or amend may be due to changes in law or any other reason. If the Policy is terminated, an individual will not have any further rights under this Policy. This Policy does not create an obligation for continued employment or imply an employment contract.

VIII. Annexure:

PDF Form	
Employee Name*	
Employee Code*	
Date of Joining	
Designation*	
Department	
Manager Name*	
HOD Name	

REASON FOR COUNSELING:	Tick all that apply
Attendance	
Tardiness	
Insubordination	
Performance	
Misconduct	
Policy Violation	
Type of counselling	Tick one
Verbal Counselling	
Written Warning	
Final Written Warning	
Termination/Offer to resign	
Areas of concern	
Manager/HODs comments	
Employee comments (if needed)	
NOTICE TO EMPLOYEE: Your signature indicates your supervisor has discussed this matter with you and has explained Ujaas's Policy regarding this matter	
Employee's Signature:	
Date:	
Manager's Signature:	
Date:	

*Mandatory