

PROGRESSIVE DISCIPLINE POLICY			
<b>Effective Date</b>	February 2, 2017	<b>Policy Type</b>	Administrative
<b>Responsibility</b>	Director, Human Resources	<b>Cross-Reference</b>	<ol style="list-style-type: none"> <li>1. Administrative Group Terms and Conditions of Employment</li> <li>2. Academic Staff Association Collective Agreement</li> <li>3. Alberta Union of Provincial Employees Collective Agreement</li> <li>4. Employees' Association Collective Agreement</li> <li>5. Performance Management Policy</li> <li>6. Respectful Workplace Policy</li> </ol>
<b>Approver</b>	Executive Council	<b>Appendices</b>	1. Progressive Discipline Procedures
<b>Review Schedule</b>	Every 5 years		

**1. Policy Statement**

1.1 NWP is committed to maintaining a healthy and productive work environment and atmosphere where all employees are afforded the opportunity to thrive. Where behaviours or competency do not allow for NWP to achieve its desired work environment goals, NWP is committed to addressing the situation promptly and appropriately.

**2. Background**

- 2.1 Effective processes and controls are required to address employee performance issues and correct inappropriate behaviours. Effective management of this process will allow NWP to create an atmosphere where employees thrive.
- 2.2 The creation and maintenance of a healthy and productive work environment is a collective responsibility between NWP and its employees.

**3. Policy Objective**

- 3.1 The objectives of this policy are to:
  - 3.1.1 provide a framework to address inappropriate behaviour and competencies of employees; and
  - 3.1.2 ensure a fair and consistent process is in place to address situations quickly.

**4. Scope**

4.1 This policy applies to all NWP employees.

### 5. Definitions

- 5.1 **"Association"** refers to the Alberta Union of Provincial Employees (AUPE), Employees' Association (EA), or Academic Staff Association (ASA).
- 5.2 **"Progressive Discipline"** is a disciplinary process in which the disciplinary actions become more formal and severe as it progresses.

### 6. Guiding Principles

- 6.1 NWP will apply a progressive discipline approach to address employees' performance and workplace issues.
- 6.2 Management is expected to ensure that within their departments, performance and workplace issues are addressed promptly and appropriately.
- 6.3 Where an employee's work performance falls below acceptable standards, the immediate supervisor must provide documented timely and relevant feedback identifying where expectations are not being met and must work with the employee to develop a plan to restore performance to a satisfactory measure.
- 6.4 Immediate supervisors should seek advice and guidance from Human Resources prior to addressing escalating performance management issues.
- 6.5 In dealing with misconduct on the part of an employee, NWP will follow the procedures outlined in Appendix A.
- 6.6 In situations where the misconduct results in the need for escalated discipline, employees may be subject to disciplinary actions including but not limited to suspension with or without pay or immediate termination.

### 7. Guiding Principles - Progressive Discipline Process

- 7.1 In cases where employees are not meeting expectations that have been clearly defined, management may take disciplinary action through the following steps, in the order presented, and in accordance with the procedures outlined in Appendix 1.
- 7.2 The immediate supervisor must document all disciplinary actions and provide a copy of all documentation to Human Resources. At all stages of discipline, it is recommended that the supervisor be accompanied by a witness in the delivery of the discipline. An Association representative may be present at the disciplinary meeting(s) at the request of the employee.
- 7.3 All disciplinary actions are subject to the Collective Agreements.
- 7.4 Disciplinary action may start at any step-in instances of gross misconduct such as theft, sexual assault, physical abuse, alcohol or drug abuse on the job, insubordination, harassment, or an incident of equal gravity. These types of serious offences may result in immediate termination.

7.5 The decision to terminate an employee may be recommended by the immediate supervisor in consultation with the Director, Human Resources and approved by the President and CEO.

**8. Roles and Responsibilities**

STAKEHOLDER	RESPONSIBILITIES
Executive Council	<ul style="list-style-type: none"> <li>• Approve and formally support this policy</li> </ul>
President and CEO	<ul style="list-style-type: none"> <li>• Approve all terminations</li> </ul>
Director, Human Resources/Human Resources Staff	<ul style="list-style-type: none"> <li>• Develop, maintain, and oversee the implementation of this policy</li> <li>• Provide guidance on the progressive discipline process</li> </ul>
Immediate supervisor	<ul style="list-style-type: none"> <li>• Conduct progressive discipline with Employee</li> <li>• Work with Human Resources, applicable senior management, executive member and the appropriate Association on discipline issues</li> </ul>
Association	<ul style="list-style-type: none"> <li>• Support employees through the progressive discipline process</li> </ul>
Employees	<ul style="list-style-type: none"> <li>• Comply with employment expectations</li> </ul>

**9. Exceptions to the Policy**

- 9.1 Exceptions to the guiding principles in this policy must be documented and formally approved by the Vice-President Administration.
- 9.2 Policy exceptions must describe:
- 9.2.1 the nature of the exception;
  - 9.2.2 a reasonable explanation for why the policy exception is required;
  - 9.2.3 any risks created by the policy exception; and
  - 9.2.4 evidence of approval by the Vice-President Administration

**10. Inquiries**

10.1 Inquiries regarding this policy can be directed to the Director, Human Resources.

**11. Amendments (Revision History)**

11.1 Amendments to this Policy will be published from time to time and circulated to the NWP Community.

## Appendix 1 – Progressive Discipline Procedures

In dealing with employee discipline, immediate supervisors will work with Human Resources to:

- determine from the employee the reasons for inappropriate behavior;
- give due consideration to the employee's explanation;
- identify the difference between the required behaviour and the employee's behaviour;
- clearly articulate the behaviour that is required in the future;
- acknowledge the employee's progress in improving performance and, where possible, support an employee's effort to improve.

In cases where the employee is not meeting expectations that have been very clearly defined, NWP may take disciplinary action through the following steps in accordance with the applicable Collective Agreements or Terms and Conditions of Employment:

### 1. Verbal Reprimand

- 1.1 Beginning with verbal discussions, where an employee's work performance falls below the expected standards, the immediate supervisor will provide timely and specific feedback identifying where expectations are not being met. A documented account of discussion shall be placed in the employee's personnel file.
- 1.2 The employee and immediate supervisor may discuss ways to improve the specific performance area.
- 1.3 The employee will have opportunity to demonstrate improvement and the immediate supervisor will monitor performance and acknowledge if and when the performance issue has been corrected.

### 2. Written Reprimand

- 2.1 Should the performance issue continue, the disciplinary process will move to an increased level of formality.
- 2.2 This involves the immediate supervisor documenting discussions with the employee about the performance issue and sharing a copy of the documentation with the employee and also ensuring a copy of the documentation is maintained in the employee's personnel file.
- 2.3 The immediate supervisor will work with and support the employee to identify the necessary improvements and the timeline for improvements.

### 3. Disciplinary Probation

- 3.1 In consultation with Human Resources and the Dean/Director, an employee may be placed on disciplinary probation if performance does not improve. This involves providing the employee with written notice and details on and the conditions for the probation.

**4. Suspension With or Without Pay**

- 4.1 In consultation with Human Resources and the Dean/Director, an employee may be placed on suspension, with or without pay, for a defined period of time.
- 4.2 Notice shall be provided to the employee and the respective Association and will include the details of and the reasons for the suspension.

**5. Termination**

- 5.1 The last step in the progressive discipline process is the termination of an employee.
- 5.2 The termination decision may be recommended by the immediate supervisor, in consultation with Human Resources, and approved by the President and CEO.
- 5.3 This termination process is subject to the terms and conditions as outlined within the Collective Agreements and Administrative Group Terms and Conditions of Employment.