

## DAU 4-11 Faculty Members and Staff Disciplinary Policy

Policy Code	Policy Name		
DAU 4-11	Faculty Members and Staff Disciplinary Policy		
Responsible Executive	Current Revision Date	Next Revision Date	
- HR Directorate. - Colleges at DAU. - Administrative units at DAU.	10/2023	10/2027	

### 1. Policy Purpose

The faculty members and professional staff disciplinary policy aims to:

- ensure that faculties and professional staff follow the highest standards of professional ethics.
- promote academic honesty.
- elaborate acts of misconduct that may result in some disciplinary actions.
- describe the procedure for disciplinary action.

### 2. Policy Scope

It is applied for all DAU academic and administrative staff.

### 3. Policy Statement

Each faculty member and professional staff shall perform all duties assigned to him/her, abide by all laws, regulations, and decisions in force at the University, uphold, in his/her relations with his/her colleagues, students and the community inside and outside the University, the system of values that prevail in the Arab-Islamic society of KSA, and refrain from any activity that can harm the University reputation. Disciplinary actions shall be taken in accordance with the specified policies and procedures. Serious disciplinary violations may even result in termination of the contract after carrying out a thorough investigation and completing the applicable procedure. This procedure will be detailed in the following part.

### 4. Policy Procedure

In case of misconduct or serious violation of the University's rules and regulations, a faculty member may face disciplinary procedure that should be applied fairly regardless of the faculty members and staff's professional positions, nationality, and religion. The Disciplinary Committee is authorized to investigate the incident and decide what is the proper decision regarding this incident.

#### Disciplinary committee membership

- DAU's Vice-Presidents.
- One of DAU's Deans.
- One faculty member with the rank of professor.
- A specialist in Sharia and Law.

#### Faculty members disciplinary

##### A. Procedure for the faculty member disciplinary is presented below:

- The College Dean shall appoint the appropriate interrogator for the faculty member accused of certain academic offenses. Concerning the behavioral offensives, the College Dean refers to "the regulations of protection against inappropriate behavior in the work environment."
- The results of the interrogation shall be submitted in a detailed report containing a definite recommendation to College Dean, who may then pursue any action that he might think appropriate:

stop any further proceedings; issue a letter of warning to the accused; or send the case, together with the interrogator's findings and recommendations to the Disciplinary Committee. All transactions in this regard shall be kept strictly confidential and be carried out in accordance with proper legal procedures.

- During investigation the dean may suspend the faculty member who is being investigated from carrying on with his/her duties as a precautionary measure for a maximum of Three months if he believes that it is in the interest of the investigation to do so. The period of suspension may not be extended except by a decision by the Disciplinary Committee.
- Unless the Disciplinary Committee provides otherwise, suspension from duty entails suspension of salaries as of the date on which the decision to suspend is taken.
- If the case under investigation is not referred to the Disciplinary Committee within a Month after the decision to suspend has been issued, the suspension shall be revoked, after which the Disciplinary Committee's decision on the matter shall be enforced.
- The College Dean shall send to the faculty member who is under investigation a detailed report regarding the charges against him/her, together with a copy of the interrogator's findings via registered mail at least Fifteen days before the disciplinary session is to be held.
- The faculty member whose case has been referred to the Disciplinary Committee shall have the right to be informed of the findings, and may defend him/herself, or ask a lawyer or another faculty member to defend him/her in front of the Disciplinary Committee.

#### B. Faculty members Disciplinary measures:

- Disciplinary measures that may be taken against a faculty members include:
  - Warning.
  - Reprimand.
  - Reprimand with a one-year suspension of annual increment, or a reprimand with a one-year suspension of promotion to a higher rank.
  - Reprimand with partial or total suspension of payment of salary for a period not exceeding six months.
  - Termination of contract, but with full rights to salaries and indemnities.
  - Termination of contract with partial or total withholding of salaries and indemnities.
- The Dean may issue the penalties mentioned in (a) and (b) and the faculty members against whom these penalties have been issued may appeal the actions to DAU President within 15 days of being notified. The Dean may form a committee to investigate the violations for which the faculty member has been charged before issuing such penalties.
- The Disciplinary Committee may issue any of the penalties mentioned above. Decisions by the Disciplinary Committee shall be considered final. Grievances against the decisions of the Disciplinary Committee may be directed to DAU President within Two weeks of notification. The President's decision on the matter shall be final and not subject to appeal elsewhere.
- The Committees meeting shall not be considered legal unless Three quarters of the members attend the meeting.
- Decisions are issued with a majority of votes.
- The case under investigation shall not be rendered void if the faculty member being investigated submits his/her resignation.
- The disciplinary measures taken against a faculty member have no bearing on any criminal or civil proceedings connected with the same event that led to them.

#### DAU Employees Disciplinary procedures

Without prejudice to the civil criminal responsibility (when necessary), employees violating the duties stipulated in these by-laws, or breaking the rules while doing their duties, shall be punished according to the disciplinary measures as indicated below:

#### A. Investigator and the investigative Committee:

- An investigator shall be appointed by decision of the line manager to interrogate the employee of certain offenses.
- An investigative committee may call upon whomever it views appropriate to complete procedures and measures regarding the cases forwarded to it.
- The decision to refer an employee to the Disciplinary Committee shall be issued by the line manager, based upon the recommendations of the investigative committee, and shall include a statement of facts, together with supporting documents, and the accusations leveraged against the professional staff.
- The employee shall be informed of the referral decision and the date of the Committee session. The employee may defend him/herself and be heard before an investigative committee and the Disciplinary Committee.

#### B. DAU Employees Disciplinary Committee

- A DAU Employees disciplinary Committee is formed by a decision from HR Director mandated by the CEO, based on the investigative committee recommendation. The Committee will be led by Human Resource Director, or any other member designated by HR Director, with the membership of two employees one of them shall be from the College of Law, and two Head of Departments. The member's grades shall not be less than the grade of the employee presenting before the Committee.
- The Committees meeting shall not be considered legal unless Two Thirds of the members attend the meeting.
- Decisions are issued with a majority of votes.
- The line manager consulted by HR Director may suspend the employee from work, as a precautionary action, if the investigation welfare requires so. This suspension shall not be for more than three months, and this period shall only be extended by a decision from the Disciplinary Committee.

#### C. Employees Disciplinary Penalties

- Disciplinary Penalties imposed on employees, as follows:
  - Warning.
  - Reprimand
  - Reprimand with a one-year suspension of annual increment, or a reprimand with a one-year suspension of promotion to a higher rank.
  - Reprimand with partial or total suspension of payment of salary for a period not exceeding Six months.
  - Termination of contract, but with full rights to salaries and indemnities.
  - Termination of contract with partial or total withholding of salaries and indemnities.
- DAU Employees Disciplinary Committee shall, while deciding on one of the punishments mentioned in the bylaws, observe the proportionality between the punishment and the violation committed. It is also not allowed to impose Two penalties at the same violation.
- Complaints against the decisions of the Disciplinary Committee may be directed to DAU President within Two weeks of notification. The complaint is considered accepted if it is not decided on within 15 days after it is submitted. On the other hand, if the employee does not submit a complaint within the set period, the decision will be considered final.
- Disciplinary action or investigation shall not be valid after the passage of Three years of violation commitment. The same applies to the cases of the demise of the employee or the passage of Three years at the end of his/her services with the university.
- The employee's resignation shall not be a reason for not proceeding in the procedures of disciplinary action. It is prohibited, however, to approve an employee's resignation when he/she is put before the Disciplinary Committee.

#### D. DAU's Employees Disciplinary Actions

- Disciplinary actions imposed on employees will be cancelled by the passage of the following periods:
  - Six months for cases of warning and reprimand.
  - One year for cases of deduction of salary.
  - Two years for cases of deprivation of regular raise and promotion.
- The cancellation will take place by a decision from the Human resource Director at DAU if it is proved by reports that employee's conduct and performance were satisfactory since the date of imposing the penalty. The cancellation of the penalty will revoke it, for future considerations. In this case the employee will be entitled to all due rights and compensations, and the penalty documents will be removed from his/her folder

#### 5. Related Policies/ Documents/ Forms

DAU 4-7 Faculty members Grievance and Appeal Policy  
DAU 4-3 Code of conduct policy

#### 6. Document History

Version	Issue/ Rev. Date	Updated Information/ Summary of Changes
1	10/2023	1 <sup>st</sup> issue of the Policy