

DAU 4-14 Conflict of Interest Policy

Policy Code	Policy Name		
DAU 4-14	Conflict of Interest Policy		
Responsible Executive	Current Revision Date	Next Revision Date	
- HR Directorate	10/2023	10/2027	

1. Policy Purpose

This policy outlines guidelines for dealing with conflicts of interest or commitment to ensure that all DAU representatives (leaders, faculty members and administrative staff) conduct themselves in a way that promotes the best interests of the institution. This policy seeks to emphasize the need to disclose conflicts and potential conflicts of interest and commitment, to manage such conflicts and to ensure that the University's interests are not compromised. Hence, it is the responsibility of everyone (i.e.: faculty member, staff member, or any employee acting on behalf of the University) to comply with legal and regulatory requirements associated with the job.

2. Policy Scope

All academic and administrative employees and all faculty members of DAU.

3. Policy Statement

A conflict of interest (COI) is a situation in which financial or other personal considerations have the potential to compromise or bias professional judgment and objectivity. All employees of DAU community must ensure that no conflict of interest exist, by avoiding actions or engagements that conflict with their position or might impair their ability to make objective and fair decisions when performing their obligations to the institution or its well-being. Unless approved, after consultation, by the proper authority within the University, it is advisable that DAU community members avoid potential conflict of interest and staff members are encouraged to bring to the attention of their direct supervisors or higher management inquiries related to possible conflict of interest for possible action. The interests of DAU must be the priority in all decisions and actions.

The following actions and conditions are specifically prohibited, but are not intended to enumerate all actions or situations, which might be avoided:

- Situations where a financial or other consideration may compromise or appear to compromise their ability to carry out their responsibilities to the University.
- Unauthorized disclosure of any confidential information concerning the intentions of the University regarding investments, property acquisitions, purchasing or contracting for supplies and services.
- Situation where community members place themselves in a position where they could use their professional influence to create benefits for their private interests or to give improper advantage to others.
- Situation where a staff member has a significant interest in, or a consulting arrangement with, a private business.
- Situation where a faculty member undertakes consultancy work without prior approval from the University.
- Situation where a faculty member accepts activities that compete, or have the potential to compete, with DAU in areas that are part of the faculty member's University Responsibilities, without prior approval from the University.
- Situation where a faculty member teaches for another educational, without prior approval from the University.

- Authorize the purchase of equipment, supplies, or services from a source in which they or their family members have a substantial interest.
- Borrows from, or lends money to, individuals representing organizations with which business dealings are conducted.
- Accept advances or other personal payments or gifts or entertainment, from any company or firm or any person acting directly or indirectly for any company or firm which has transactions with DAU.
- Hire any member of their immediate family as an employee or consultant for any project supported by funds administered through the University.
- Have a family member directly supervising another family member.
- DAU Individuals who have duties involving the acquisition, exchange, receipt of gifts, other services, or other assets. All gifts given in support of an institutional mission must be directed through the responsible in DAU.
- The negotiation or formation of contracts or other commitments affecting the assets or interests of the University.
- handling confidential information and results from sponsored research in DAU without permission to hand this information.
- A DAU Member may not review, approve, or administratively control contracts or business relationships between DAU and other business organization, if he/ she has a business or has a Family Member who has a Financial Interest, or when the DAU Member or one of his family Member is an employee of the Business and is directly involved with activities pertaining to the University.

4. Policy Procedure

Procedure Steps for new employees		Responsibility
1	Provides all new employees with a "Conflict of Interest" agreement form to sign.	HR Directorate
2	Signs agreement and inform HR Directorate and Academic Department Heads/ Director of any external activities or interests (including financial interests) that may give rise to a conflict of interest.	Employee (Faculty member /Staff Member)
3	Revisits agreement with returning employees upon renewal of their contracts.	HR Directorate

Procedures for current DAU'S employees

- The Human Resources Directorate is responsible for investigating, documenting, solving, and taking the proper action regarding conflict-of-interest cases.
- The HRD receives the conflict-of-interest case reports from the college or the unit where the faculty member or the administrative staff has a COI incident.
- The HRD evaluates each case, examines the evidence and circumstances, interviews witnesses, and may call for a hearing of the party or parties involved.
- The findings and recommendations are submitted to the DAU Top Management for appropriate action that may include:
 - Dismissal of the case for lack of evidence.
 - A written warning for low-risk cases.
 - A severe reprimand with a warning for medium-risk cases.
 - Dismissal of the concerned individual in high-risk cases.
 - Dismissal and filing of a criminal case against the concerned individual for high-risk cases that caused the institution considerable financial damage or loss.
- The HRD completes its investigation and decides the proper action regarding the COI case and submits it to the HRD For finalizing and publishing the decisions.
- Top Management in DAU is responsible for filing formal disclosures of the current Conflict of interest issue in DAU even if it is a financial or any other conflict. The disclosure shall be made on a form or in a suitable format and filed with the Legal Affairs.

5. Related Policies/ Documents/ Forms

DAU 4-3 Code of conduct policy

6. Document History

Version	Issue/ Rev. Date	Updated Information/ Summary of changes
1	10/2023	1 st issue of the Policy