

DAU 4-7 Faculty Members and Administrative Staff Grievance and Appeal Policy

Policy Code	Policy Name		
DAU 4-7	Faculty Members and Administrative Staff Grievance and Appeal Policy		
Responsible Executive	Current Revision Date	Next Revision Date	
-Employee Grievance Committee (EGC) -Human Resources Directorate	10/2023	10/2027	

1. Purpose of Policy

This policy shows how DAU's employees (Faculty members and administrative Staff) are aware of their right to formally submit a grievance against an administrator or another individual or party concerning any dispute that could not be resolved amicably. Also, it explains the procedure for conducting grievance/ complaints and how it will be processed in DAU.

2. Policy Scope

This policy is applied for all academic and administrative units at DAU.

3. Policy Statement

Employees in DAU can complain if any unsatisfied academic or ethical incidents or actions happened to them within DAU. DAU's employee is entitled to formally submit a grievance/ complaint regarding the following procedures mentioned in this policy. The Employee Grievance Committee (EGC) of DAU is responsible for receiving and solving complaints which are not resolved internally.

DAU President appoints members of the EGC and its Chairperson. The findings and recommendations of the EGC will be forwarded to the University President for necessary action, if any. In making its recommendations, the EGC shall decide whether a violation of regulation, policy, or procedure has occurred. If it is determined that there was a violation, the EGC shall consider factors such as whether the violation was intentional or unintentional and if it was due to some negligence or misunderstanding of rules and regulations.

The duties of the Chairperson of EGC shall include the following:

- Providing relevant information to the grievant for filing a grievance.
- Receiving the written grievance.
- Arranging for EGC meetings and scheduling the hearings.
- Supervising the meetings and ensuring the hearings are conducted in accordance with the specified procedure.
- Ensuring that all records are maintained.
- Submitting the findings of EGC and its recommendations to the University President.
- Informing the concerned parties about the final decision taken by the University President.

The members of the EGC are responsible for:

- Reviewing the grievance and ensuring that it is complete with all required information and documents.
- Deciding if the grievance does in fact need processing by the EGC.
- Hearing the evidence presented by the grievant as well as arguments presented by the defendant(s) and questioning both sides with the aim of finding exactly what happened. This should also cover the witnesses from both sides and their cross-examination.
- Reaching a decision based on presented evidence, discussions, and cross-examinations and making appropriate recommendations.

- Making sure that confidentiality is strictly maintained.

Note: In case the Chairperson or any other member of the EGC is him/herself the grievant or defendant, he/she must quit the Committee. The University President will appoint a replacement for that member.
Replacement of the absent EGC member during the formal hearing process.

4. Policy Procedure

The employee's complaints/ Grievance procedures in DAU

- The grievant/ complainer must specify must fill [Employee Complaints and Grievance Description Form .docx](#) shall be filled with the complainer and submitted to his/ her (Director/Dean/HOD, etc.)
- The (Director/Dean/HOD, etc.) trying to solve complaints/ grievance internally with the complainer.
- If this internal solution doesn't work and the complaint/ grievance is still opened the [Employee Complaints and Grievance Description Form .docx](#) will be submitted to HR for further investigation.
- HR will receive the complaint form, then the HR will contact the defendant to fill [the defendant's response form regarding the grievance or complaint .docx](#) and hear from the defendant about this grievance complaint.
- HR will try to solve the complaint/ grievance internally between the complainer and the defendant. If it doesn't work and the complaints do not close, HR will submit the forms and the complaints to the EGC.
- The Chairperson of the EGC will conduct an informal inquiry and meet with the grievant to resolve the matter.
- If the complaint is solved, the complaint/ grievance will be closed.
- If the grievance cannot be resolved, the Chairperson will forward it to the committee members for review, and they will decide if the grievance requires a formal hearing.
- As a First step in the hearing process, the EGC shall notify the University President about initiation of the process. It will also inform the parties concerned and provide them with relevant information and documents to prepare for the hearing. In this regard, the Chairperson of the EGC shall be responsible for all communication. The parties concerned shall be given reasonable time for preparation and allowed to present their views personally, provide evidence, call witnesses, and cross-examine the witnesses of the other party. Each party shall be informed about the identity of the witnesses prior to the date of the hearing. It must, however, be noted that the witnesses will only come to the hearing on a voluntary basis and cannot be forced by either party to attend the hearing. A record of the hearing shall be prepared.
- At the completion of the hearing, the EGC members will discuss after the hearing and the final decision will be raised by voting with majority of the EGC. Within One week of the decision made by the EGC, the Chairperson shall submit the [Competent authority decision form .docx](#) and the formal hearing report to the University President.
- University President will approve the final decision raised by the EGC.
- Ater the University President has decided, the Chairperson of EGC shall inform the concerned parties about the final decision.
- HR will implement and keep records for the decision implementation.

Appeals

- If the employee is not satisfied with the decision, he/she can file a written appeal to the Legal Affairs.
- The appellant should file his or her appeal within 5 days of being notified of the decision.
- After Legal Affairs making final review of the matter, which may include consultations -with one or more parties- One of the following decisions may be taken.
 - Accept the appeal.
 - Remand the matter to a lower administrative level.
 - Refer the matter directly to the concerned DAU Unit (college, department, etc.).
 - Reject the appeal if Legal Affairs finds the decision taken is proper.

- In case of acceptance the appeal, the University President may also appoint a committee to investigate the matter and report the findings back to him. In such case, the committee will thoroughly investigate the matter and hold such consultations, as it deems necessary to arrive at responsible recommendations consistent with the policies of the University.
- At the completion of the investigation, the committee will prepare a detailed report and submit it to the President.
- After receiving this report, the President will make the final decision on the appeal that he deems appropriate.
- The appellant will be informed about the final decision made by the President.

5. Related Policies/ Documents/ Forms

[Employee Complaints and Grievance Description Form .docx](#)

[The defendant's response form regarding the grievance or complaint .docx](#)

[Competent authority decision form .docx](#)

DAU 4-3 Code of Conduct Policy

DAU 4-9 Teaching Staff Employment Policy

DAU 4-10 Faculty member and Professional Staff Role Policy

DAU 4-11 Faculty member and Staff Disciplinary Policy

6. Document History

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