

SUSTAINABLE DEVELOPMENT GOALS



SDG 8: DECENT WORK AND ECONOMIC GROWTH

Al Ain University



جامعة العين
AL AIN UNIVERSITY

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SUSTAINABLE DEVELOPMENT GOAL 8

DISCIPLINARY PROCEDURES AND APPEALS

https://www.aau.ac.ae/publications/handbooks/al_ain_university_faculty_handbook_2023_2024_en.pdf

AAU is committed to professional honesty and integrity, and it also recognizes the need for fair and adequate investigation of alleged violations of rules and policies relating to the conduct of AAU faculty members.

◆ Discipline

Discipline means any sanction except dismissal that may be imposed by the administration against a faculty member for misconduct. Sanctions may extend from mild to severe and from informal to formal. In cases of employment offenses or misconduct, a range of sanctions/measures short of dismissal should be available. This range of sanctions from minor to major constitutes progressive discipline. However, the imposition of any sanction must be regarded as a serious disciplinary step and even a first offense may warrant the most extreme penalty.

Any sanctions/measures that are imposed by the university must be selected to meet the severity, the frequency, and/or flagrant nature of the infraction. Appropriate sanctions may include:

- I. an oral reprimand
- II. a written reprimand
- III. reassignment to other duties
- IV. restitution
- V. placement of the faculty member under the direct supervision of the Head/Dean with a specific plan for remediation, for a specific period of time
- VI. loss of summer teaching employment for a faculty member on a contract of less than twelve months
- VII. loss of perquisites or of privileges of rank for a stated period, not to exceed two years
- VIII. reduction in contract period
- IX. dismissal

Misconduct

Misconduct may include the following:

- I. neglect of duty or responsibilities, including unauthorized absence, which impairs teaching, research or other normal and expected services to the university
- II. failure to perform the terms of employment for reasons other than documented illness or injury
- III. willful violation of the rules and regulations of the university

- IV. violation of the ethics of the academic profession
- V. action(s) that results in preventing other members of the university community from fulfilling their responsibilities, or actions that create a clear and direct danger to members of the university community
- VI. conduct, professional or personal, involving moral turpitude

Disciplinary procedures

The following procedures must be followed when a faculty member is alleged to have committed an employment offense or misconduct. If, however, the Head regards the alleged employment offense or misconduct as one that warrants only an oral reprimand, the Head may follow these procedures at his/her discretion.

The procedures listed below are to be followed in sequence:

The Head notifies the Dean in writing of the alleged offense or misconduct. This notification includes the policies/procedures which may have been violated, with supporting evidence.

The Dean notifies the University President. This notification includes the policies/procedures which may have been violated with supporting evidence.

The Head, Dean, and University President consult the legal advisor of the university, who verifies all the facts related to the alleged offense or misconduct. The Head notifies the faculty member in writing of the alleged offense or misconduct, clearly identifying the policies/procedures which may have been violated with supporting evidence.

The faculty member is given an opportunity to respond both orally and in writing to the allegations and to any evidence prior to any determination of culpability.

If the faculty member chooses to respond, the response must normally be made within ten working days to the Head.

The Head reviews the faculty member's response (if any was made), his/her past performance- and employment record, as well as any additional information prior to determining if a sanction is warranted.

Normally, within ten working days after receiving the faculty member's response, the Head notifies the Dean of the response and includes his/her recommendations regarding the alleged offense or misconduct. If warranted, the Head's recommendation may include an appropriate sanction. Resolution of the matter may occur at this point.

The Dean consults with the University President and the university's legal advisor, then notifies the faculty member and the Head of the sanction (if any) to be imposed. Notification is normally given within fifteen (15) working days.

The faculty member is given ten days to respond both orally and in writing to the Dean before any sanction(s) becomes effective. The response should indicate any intention to appeal the recommended sanction(s) to the grievance committee.

When a Department Head is alleged to have committed an employment offense or misconduct, the Dean will follow the above procedures fulfilling the Head's duties and University President will act in the Dean's role. When a Dean is alleged to have committed an employment offense or misconduct, the University President will follow the above procedures fulfilling the both the Department Head's duties and the Dean's roles.

Depending upon the severity of the alleged offense or misconduct, the University President or the President's designee may immediately place a faculty member on leave with pay, pending an investigation of alleged misconduct or other employment offense. The leave pending investigation shall commence immediately upon the University President or designee providing the faculty member with a written notice of the reasons. The leave shall be with pay, with no reduction of accrued leave.

If, as a result of the investigation, the faculty member is to be suspended or his/ her contract terminated, written notice shall be given to the faculty member. In all cases, the faculty member will be given an opportunity to respond within ten working days before any sanction(s) become(s) effective. The response may be made both orally and in writing to all allegations and evidence.

Appeal of Recommended Sanctions

A faculty member may appeal the Dean's recommended sanctions to the Grievance Committee. Resolution of the matter may occur at this point and the committee may recommend acceptance, modification, or rejection of the findings and/or sanctions.

Faculty Grievance Procedures

Grievances by a faculty member against the university or its employees are governed by this procedure. A faculty member should first work informally with administrators (the University President, Deans, and Department Heads) to resolve the matter. Experience indicates that almost all cases can be resolved informally. The process should reflect mutual trust, respect, collegiality, and cooperation.

The grievances governed by this procedure may include the following:

- I. unlawful discrimination on the basis of age, religion, race, or national origin
- II. salaries
- III. resource support
- IV. teaching assignments
- V. office assignments
- VI. leave of absence applications

Discipline against a Faculty Member Short of Contract Termination

Informal Procedure

A faculty member shall first attempt to resolve the grievance informally with the person whose action is the basis for the grievance. However, if in the faculty member's sole discretion it is not practical to do that, the faculty member shall first attempt to resolve the grievance informally with that person's immediate superior.

Formal Procedure

If the informal procedure does not resolve the grievance, the faculty member may initiate the formal grievance procedure. To do so, the faculty member must submit a written grievance statement to the immediate superior of the person whose action is the basis for the grievance, within 20 days. The grievance statement must include the following:

- I. a concise statement of the grievance
- II. a description of actions taken so far to resolve the grievance
- III. a description of the responses received
- IV. a proposed resolution of the grievance

Upon receiving the grievance statement, the administrator will take the steps he/she deems necessary to investigate and resolve the grievance. The administrator will then give the faculty member a written decision, within a period of ten days.

Appeals

The faculty member may appeal a department Head's decision to the Dean. The faculty member may appeal a Dean's decision (whether an original decision or an appellate decision) to the University President. The faculty member must submit any appeal in writing within two weeks after receiving the decision. Upon receiving the appeal, the administrator will take the steps he/she deems necessary to investigate and resolve the grievance. The administrator will then give the faculty member a written decision, within a period of two weeks.

Confidentiality

Sensitive information disclosed in the proceedings should be kept confidential. Except for simple announcements about the status of the proceedings and similar matters, both the university and the concerned faculty member(s) shall avoid making public statements about the case until the proceedings have been completed.

Exhaustion of Remedies

A faculty member shall not initiate civil litigation or civil administrative remedies against the university or its employees until all the remedies provided by this procedure have been exhausted.

Non-Retaliation

Retaliation by the university or its employees against a faculty member for seeking redress through this procedure is prohibited, and is a separate cause for grievance.

Resignation

Notice of resignation must be made at least three months before the end of the academic year or the contract end. If a faculty member fails to submit his/her resignation within the period stated above, he/she shall pay to the university one month and half of his/her total salary based on recent salary paid.

A faculty member who resigns from the University while under contract must do so in writing to the Dean of the college via the department Head. In all cases, a letter of resignation should be forwarded to

the Dean's office. The Dean's office should then forward the resignation letter to the Vice President and to the Human Resources.

♦ Termination of a Contract

Termination or dismissal from the University shall be only for a cause. The cause may be one or more of the following:

- I. unsatisfactory performance
- II. under recommendation of the Disciplinary Committee for serious misconduct
- III. prolonged inability to fulfill his/her duties for medical reasons
- IV. reduction in academic staff caused by:

a. financial exigency

b. discontinuance

c. reduction in the size of the program

In such a case, the faculty member will receive notice of the termination of his/ her contract at least three months before the end of his/her contract or before the end of the academic year.

16. Grievance management Policy

https://aau.ac.ae/publications/handbooks/al_ain_university_staff_handbook_2022_2023_en.pdf

This section outlines the procedures by which the staff may raise any concerns related to the work. These concerns can be any of the following in nature:

- Concerns related to individual work relationship in the university.
- Concerns related to working conditions/situations.
- Concerns related to employment terms and conditions. The employee should first work informally with the administrators (immediate supervisor, Manager, Dean and HR Manager) to resolve the matter. Experience indicates that almost all the cases can be resolved informally. The process should reflect mutual trust, respect and cooperation.

In case the matter is not resolved informally, the employee can use the formal proceedings as mentioned below:

- The employee shall report the matter in writing to the immediate supervisor.
- Where the issue is not resolved through the immediate supervisor, the grievance should be reported to the Department/unit head.
- The Department/Unit head shall meet with the relevant parties, review the matter, and arrive at a decision within five working days after the meeting is held. The decision should be communicated to the employee in writing.
- In case the employee is not happy with the decision, further appeal can be made to the HR Manager. The decision of the HR Manager is considered final

17. Discipline

An employee who is deemed to be in breach of any of the AAU standards of performance and conduct shall be subject to disciplinary measures.

These disciplinary measures may include any of the following:

- Verbal warning
- Written warning
- A fine
- Disciplinary investigation
- Loss of due increment
- Loss of due promotion
- Dismissal

In the case of verbal warning, the employee's immediate supervisor shall discuss with the employee the problems giving rise to disciplinary measures and give him / her, an opportunity to solve the problem.

A written warning may be imposed on the employee after reviewing the circumstances, hearing the employee's defense and consulting with the HR Manager.

A record of a written warning shall be given to the employee and a copy shall be placed in the employee's file. In case of a matter/issue that requires an investigation, a written case including a set of all the relevant documents must be forwarded to the investigation committee.

- The committee is to record all the findings and the conclusion in a report that must be signed by all members of the committee on each page.
- The report should be submitted to the HR Manager who, in turn, takes a swift correction action based on the recommendation of the Investigation committee.
- Based on the findings, a letter is prepared by the HR Unit mentioning the type of the penalty imposed on the employee. This letter must be signed by the employee upon receiving it.
- If the employee refused to receive a warning or a penalty letter, it must be sent to his/her official mail address and/or two people must testify to the refusal of receipt of the letter by employee.

During the investigation, the employee may be suspended with or without pay. The period of suspension shall be considered from the date the incident is reported until a decision is rendered on the matter. The results of a disciplinary investigation may include any of the above mentioned measures including termination of employment. All disciplinary decisions other than a verbal notice or warning shall be communicated in writing to the employee and a record shall be placed in the employee file. In the event executive employees are subject to disciplinary investigation, the matter will be handled through the President's or Chancellor's Office.

18. Appeals

The employee may appeal the disciplinary decision by presenting his / her appeal in writing to the University President within two weeks of the date on which the disciplinary decision is communicated to him/her in writing. Upon receiving the appeal, the administrator shall review the matter. The decision on the appeal shall be issued within two weeks and will be considered final.

Dean Council

<https://aau.ac.ae/en/about-aau/councils/dean-council>

To the Ain University in order to solve the labour differences that may arise with the members, since the human resources department has assigned to the council of deans the solution of these issues, the members of the council of deans can resolve differences between the related workers with the payment or gender differences in order to streamline the development processes below, the composition of the council of deans of Al Ain University is observed

Dean Council

Name	Position	Membership
<u>Prof. Ghaleb Awad El Refae</u>	President	Chairman
<u>Prof. Amer (Mohammad Jaser) Qasem</u>	Vice President / Abu Dhabi Campus	Member
<u>Prof. Ibtehal Mahmoud Aburezeg</u>	Vice president, Development and Follow-up and Dean of Student Affairs	Member
<u>Dr. Nazih Abdelrahman “Khaddaj Mallat”</u>	Vice president, Accreditation affairs and quality assurance	Member
<u>Dr. Qutaibah Anwar Al Thebyan</u>	Dean - College of Engineering	Member
<u>Dr. Khairi Mustafa Salem</u>	Dean - College of Pharmacy	Member
<u>Prof. Mustafa Al Metwali Kandeel</u>	Dean - College of Law	Member
<u>Dr. Emad Mohammad AlGhazo</u>	Dean - College of Education	Member
<u>Prof. Zafar Husain</u>	Dean - College of Business	Member
<u>Dr. Rahima Aissani</u>	Dean - College of Communication and Media	Member
<u>Prof. Bassam Ahmad Harb</u>	Dean – Deanship of Research and Graduate Studies	Member

AAU College of Law Students Visit "Ministry of Labour" [4]

<https://aau.ac.ae/en/news/2013/aau-college-of-law-students-visit-ministry-of-labor-1>



AAU College of Law Students Visit Ministry of Labour As part of community engagement and in order to link the theoretical to the practical side, 40 students from the AAU College of Law received an orientation on the laws regulating labour relations and the procedures followed by the Ministry of Labour (MOL) in inspecting the labour complaints it receives. This came during a visit organized by the College of Law to the Ministry of Labour in Dubai where the students were briefed on how labour complaints are documented, the method of looking into them, the recent interactive communication system at the ministry, the labour inquiries department, and the legal researchers.

Mr. Jassim Al Bannai, Director of MOL Legal Affairs, offered an explanation highlighting the main articles of the labour relations law related to solving labour disputes. He highlighted that the Law is the umbrella for governing any disputes between business parties.

Further, the students met legal researchers and observed closely the procedures of resolving labour disputes beginning from summoning the disputed parties and listening to their views after which an attempt is made to resolve the dispute, but if that effort fails, the case is referred to MOL court within a period not exceeding 15 days from the day MOL receives the complaint.

On his part, Dr. Bashar Al Momani, Head of the Department of Private Law, mentioned that the labour relations law is a vital course for the students who interacted with both the theoretical and practical orientation of the law and the procedures of processing labour complaints.

At the end of the visit, on behalf of the AAU, the college of Law, and the students, Dr. Al Momani presented his appreciation and gratitude to the Undersecretary, as well as to the legal consultant, Mr. Jassim Al Bannai, for the hospitality with which students were received in addition to lauding the extreme organization and efficient work at the MOL.

My Salary Complaint - Private Sector Employees

<https://www.mohre.gov.ae/en/our-services/my-salary-complaint-private-sector-employees-2022.aspx>

First step of complaint registration, kindly verify your contact details by filling your mobile number to receive OTP.

NAME

MOBILE NUMBER

VERIFY OTP

USER TYPE

☐  Employee

☐  Employer or PRO

Service Description

A confidential complaint submitted by an employee regarding the establishment's failure to pay wages on time without disclosing the identity of the complainant to the employer (confidential complaint).

Service Procedures

- Submit an application using one of the service delivery channels by entering the employee's personal information (passport number - name, date of birth, nationality).
- Once the applicant has entered the necessary information, send a text message or email containing the OTP in order to confirm the applicant's capacity, except for requests submitted via the smart application.
- The complaint will be investigated by the competent officer in order to take the appropriate action. In the event that the complaint proves to be true, the application will be referred to the Labour Inspection Department for a visit to the establishment. This will enable the Labour Inspection Department to verify the validity of the complaint.
- The outcome of the complaint will be communicated to the customer via text messages.

Terms and Conditions

- The workers must be registered in the Ministry's database
- The same employee may not have a pending complaint or a dispute brought to court

Timing

14 working days

Notes:

The customer will be notified once the request has been completed. Applicants can follow up on their applications by visiting the MOHRE inquiry services at:

- [Mohre website](#)
- MOHRE Smart App
- Call [46659999](#)

Register a Labour Complaint (Domestic Workers)

<https://www.mohre.gov.ae/en/our-services/register-a-labor-complaint-domestic-workers.aspx>

Service Description

Receive complaints for the domestic workers and communicate with the two parties to the complaint to resolve the dispute

Service Procedures

- Select a service of registering a domestic labour complaint
- Specify the type of applicant, and the work permit number for the worker complaint Or, specify the type of applicant, work permit number, and establishment's number for employer complaint.
- Enter the complaint details
- Add attachments (optional)

Timing

14 working days

Register labour complaints - Private Sector Employees

<https://www.mohre.gov.ae/en/our-services/register-labor-complaints-private-sector-employees-2022.aspx>

Service Description

Employers and employees can use this service to register their labour claims in the event that one of the parties breaches their contractual obligations

Target Audience

Employers / Employees

Service Procedures

- Submit an application using one of the service delivery channels by entering the employee's personal information (passport number - name, date of birth, nationality). Employers are required

to enter the establishment or license number - It is mandatory for all categories to provide the ID card number

- Once the applicant has entered the necessary information, is sent a text message or email containing the OTP in order to confirm the applicant's capacity, except for requests submitted via the smart application.
- The competent employee shall examine the complaint and take appropriate action by contacting the Complainant and the Respondent after consulting with the competent legal advisor, this done based on the information provided in the complaint, in order to resolve the dispute amicably, and if this cannot be achieved, a meeting will be scheduled, and the parties will receive a text message containing the date of the complaint
- In an effort to reach an amicable resolution of the dispute, the parties are contacted a second time. In the event that this is not possible, the complaint will be referred to the appropriate court for resolution. Alternatively, the work permit may be cancelled as required by the claim.
- The outcome of the complaint will be communicated to the customer via text messages.

Terms and Conditions

The employee must be registered in the Ministry's database

It is not possible for the same employee to have a pending complaint or a dispute brought to court unless the employment relationship is ongoing or if the employee wishes to cancel the work permit.

Relation of service with other service

Federal Authority for Identity, Citizenship, Customs and Ports Security

Notes:

The customer will be notified once the request has been completed. Applicants can follow up on their applications by visiting MOHRE inquiry services at:

- [Mohre website](#)
- MOHRE Smart App
- [Call center 46659999](#)

Staff Grievance

[https://aau.ac.ae/uploads/editor/source/policies/Staff_\(Admin&Academic_Policies\)/staff-grievances.pdf](https://aau.ac.ae/uploads/editor/source/policies/Staff_(Admin&Academic_Policies)/staff-grievances.pdf)

5.m.2 Staff Grievances

<i>Subject</i>	Faculty and Professional Staff	<i>Effective From</i>	Sep - 2011
<i>Policy #</i>	5.m.2	<i>Latest Revision</i>	Feb - 2025
<i>Title of The Policy</i>	Staff Grievances	<i>Next Review</i>	Dec - 2025
<i>Responsible Entity</i>	Staff Grievances Standing Committee	<i>Policy Pages</i>	1
Definitions	Informal Reporting: Verbal discussion between two parties. Formal Reporting: Reporting in writing is considered as formal reporting.		
Purpose	The purpose of this policy is to establish the right of staff members to submit grievance against the University or its employees according to proceedings set forth by the University.		
Scope	This Policy shall be applied to all administrative staff.		
Statement	Grievance refers to any concerns raised by an admin member, against AAU or its employees. At the beginning of the Academic Year, the Deans Council forms a Grievance Committee whose mission is to consider grievances by an admin member against the University or its employees.		
Procedures	This section outlines the procedures by which the staff may raise any concerns related to the work. These concerns can be any of the following in nature: • Concerns related to individual work relationship in the university. • Concerns related to working conditions/situations. • Concerns related to employment terms and conditions. Grievance by an admin member against the University or its employees is governed by the following procedures: • An admin member should first work informally with his immediate supervisor to resolve the matter. If the informal procedure does not resolve the grievance, the admin member may initiate the formal grievance procedure. • The admin member must submit a written grievance statement to the immediate supervisor of the person whose action is the basis for the grievance. • Upon receiving the grievance statement, the "Staff grievance" committee will investigate and resolve the grievance. The admin member will receive, a written decision, within ten days. • In case the employee is not happy with the decision, further appeal can be made within two week.		
Recent Changes			

Faculty Grievance

[https://aau.ac.ae/uploads/editor/source/policies/Staff_\(Admin&Academic_Policies\)/faculty-grievances.pdf](https://aau.ac.ae/uploads/editor/source/policies/Staff_(Admin&Academic_Policies)/faculty-grievances.pdf)

5.m.1 Faculty Grievances

<i>Subject</i>	Faculty and Professional Staff	<i>Effective From</i>	Sep - 2011
<i>Policy #</i>	5.m.1	<i>Latest Revision</i>	Feb - 2025
<i>Title of The Policy</i>	Faculty Grievances	<i>Next Review</i>	Dec - 2025
<i>Responsible Entity</i>	Faculty Grievance Standing Committee	<i>Policy Pages</i>	1
Definitions	AAU: Al Ain University		
Purpose	The purpose of this policy is to establish the right of faculty members to submit grievances against the University or its employees according to proceedings set forth by the University.		
Scope	This policy applies to faculty members who raise any concerns related to the University or its employees.		
Statement	Grievance refers to any concerns raised by a faculty member, against AAU or its employees. At the beginning of the Academic Year, the Deans Council forms a Grievance Committee whose mission is to consider grievances by a faculty member against the University or its employees.		
Procedures	Grievance by a faculty member against the University or its employees is governed by the following procedures: • A faculty member should first work informally with his immediate supervisor to resolve the matter. If the informal procedure does not resolve the grievance, the faculty member may initiate the formal grievance procedure. • The faculty member must submit a written grievance statement to the immediate supervisor of the person whose action is the basis for the grievance. • Upon receiving the grievance statement, the "faculty grievance" committee will investigate and resolve the grievance. The faculty member will receive, a written decision, within ten days. • In case the faculty member is not happy with the decision, further appeal can be made within two weeks.		
Recent Changes			