

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

Overview

The integrity of American International University's academic mission rests upon the commitment of every faculty member to the highest standards of professional and ethical conduct. The University's credibility as an institution of higher learning, its value to students, and its standing in the regional and international academic community all depend on faculty who pursue knowledge honestly, engage with students with care and impartiality, contribute to a collegial scholarly community, and act in ways that reflect credit upon the institution and the academic profession.

This policy sets out the standards of professional ethics to which all AIU faculty are expected to adhere and the procedures through which alleged violations of those standards are investigated and resolved. It is grounded in the principles articulated by the American Association of University Professors (AAUP) Statement on Professional Ethics (revised 2009), adapted to the specific legal, cultural, and institutional context of AIU as a private university in Kuwait pursuing accreditation.

Scope

This policy applies to all persons holding faculty appointments at AIU, including full-time regular, visiting, adjunct, part-time, joint, affiliate, courtesy, and emeritus faculty, and all individuals in academic non-faculty ranks (Instructors, Senior Instructors, Lecturers, and Senior Lecturers). It applies to conduct in teaching, scholarship, research, supervision, service, and all professional activities undertaken in connection with the faculty member's role at AIU, whether on campus or in external settings where the faculty member is acting as a representative of the University.

Purpose

The purposes of this policy are to:

- Affirm AIU's commitment to a culture of academic integrity, honesty, and professional accountability
- Define the ethical standards expected of faculty across five domains: scholarly competence; responsibilities to students; responsibilities to colleagues; responsibilities to the institution; and responsibilities as citizens
- Define the categories of professional misconduct and the principles governing their investigation and sanctioning
- Establish a clear, fair, and documented process for receiving, investigating, and resolving reports of alleged misconduct
- Protect both complainants and respondents through impartial procedures and safeguards against retaliation and malicious reporting
- Support AIU's compliance with institutional integrity, ethical operations, academic integrity, and faculty employment policies

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

Abbreviations and Definitions

Faculty Member: Any individual holding a faculty or academic non-faculty appointment at AIU, as defined in FAC-003.

Professional Ethics: The standards of conduct, integrity, and responsibility that govern the professional behavior of faculty members in their roles as scholars, teachers, colleagues, and representatives of AIU.

Professional Misconduct: A breach of the standards set out in this policy, including but not limited to fabrication, forgery, plagiarism, harassment, discrimination, conflict of interest, misuse of authority, breach of confidentiality, or conduct that damages the reputation of AIU or the academic profession.

Research Misconduct: Fabrication, forgery, or plagiarism in proposing, conducting, reviewing, or reporting research, including falsification of data, misrepresentation of results, and unethical authorship practices.

Fabrication: The intentional invention of data, results, or other elements of scholarly work that were not obtained through legitimate means, and the recording or reporting of such invented material.

Forgery: The deliberate manipulation, alteration, or misrepresentation of material, data, documents, results, or processes such that the accuracy of a record is intentionally misrepresented.

Plagiarism: The appropriation, presentation, or incorporation into one's work of another person's words, ideas, findings, or other components of their scholarly work as one's own, without appropriate attribution, credit, or acknowledgement, whether or not consent was obtained. Intent is not required on the part of the person who plagiarized.

Self-Plagiarism: The reuse of substantial portions of one's own previously published work without adequate acknowledgement of the prior publication, or the duplicate submission of the same work to multiple outlets without disclosure.

Authorship: AIU adopts the Vancouver Convention criteria for authorship of scholarly publications, requiring: substantial contribution to design, data collection or analysis; critical drafting or intellectual revision; and acceptance of accountability for the work's integrity. All three criteria must be met to be listed as an author.

Harassment: Unwanted conduct, whether verbal, physical, or digital, that has the purpose or effect of violating a person's dignity or creating an intimidating, hostile, degrading, humiliating, or offensive environment.

Discrimination: Treating a person less favorably on the basis of a protected characteristic including but not limited to nationality, gender, religion, age, marital status, or disability, where such treatment is unjustified.

Conflict of Interest: A situation in which a faculty member's personal, financial, or other interests could improperly influence, or appear to influence, their professional judgment or conduct.

Respondent: The faculty member against whom an allegation of misconduct has been made.

Complainant: The individual who has reported an alleged act of misconduct to the University.

Anonymous Report: A report of alleged misconduct that does not identify the person who submitted it.

Malicious Report: A report made with the deliberate intent to harm or defame another member of the University community, rather than to report a genuine concern.

Ethics Review Committee: A standing institutional committee, appointed by the President on the recommendation of the VPAA, responsible for conducting initial inquiries and formal investigations under this policy.

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

Initial Inquiry: A preliminary review to assess whether a report contains sufficient factual basis to warrant a formal investigation.

Formal Investigation: A structured, evidence-based process conducted by the Ethics Review Committee to determine whether misconduct has occurred and to recommend an appropriate response.

Retaliation: Any adverse action taken, or threatened to be taken, against a person for having in good faith reported alleged misconduct, participated in an inquiry or investigation, or opposed conduct that violates this policy.

Policy

Article 1: Ethical Standards: Scholarly Competence

Faculty members at AIU are guided by a deep conviction of the worth and dignity of the advancement of knowledge. Their primary responsibility is to seek and to state the truth as they see it. In pursuit of this responsibility, faculty members are expected to:

- Devote their professional energies to developing, maintaining, and improving their scholarly competence throughout their appointment at AIU.
- Exercise critical self-discipline and sound academic judgment in using, extending, and transmitting knowledge.
- Practice intellectual honesty at all times. Subsidiary interests and activities must not hamper or compromise freedom of inquiry or the integrity of scholarly output.
- Acknowledge all sources of data, ideas, and argument in accordance with the applicable citation standards of their discipline. This obligation applies to all publications, presentations, grant applications, course materials, and submissions to AIU committees.
- Refrain from fabricating, forging, or misrepresenting data, results, credentials, or scholarly output under any circumstances.
- Adhere to the Vancouver Convention in all authorship determinations for scholarly publications, acknowledging all individuals whose contributions meet the authorship threshold and declining to engage in ghost authorship, gift authorship, or any other form of unethical attribution.
- Observe all applicable copyright law, intellectual property rights, and licensing requirements in their teaching and scholarly activities.
- Conduct all research involving human subjects, animals, or sensitive data in accordance with the AIU Research Ethics Protocol and with the prior approval of the Institutional Review Committee.

Article 2: Ethical Standards: Responsibilities to Students

Faculty members at AIU are entrusted with significant authority and influence over students' intellectual development and academic futures. In their relationships with students, faculty members are expected to:

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

- a. Encourage the free and independent pursuit of learning, and hold students to the best scholarly and ethical standards of the discipline.
- b. Demonstrate respect for students as individuals. Faculty members serve as intellectual guides and mentors and must conduct themselves accordingly, including in digital and social media interactions.
- c. Make every reasonable effort to foster honest academic conduct and to ensure that evaluations of student work reflect each student's actual performance and merit, free from favor, bias, or discrimination.
- d. Respect the confidential nature of the relationship between faculty member and student. Personal information disclosed by students in the course of their academic work must not be shared beyond those who need to know for legitimate academic or welfare purposes.
- e. Avoid all forms of exploitation, harassment, or discriminatory treatment of students. Sexual or romantic relationships between a faculty member and a student over whom the faculty member holds current academic authority are prohibited.
- f. Acknowledge and appropriately credit significant academic or scholarly contributions made by students in research, publications, or creative work.
- g. Protect students' academic freedom and support their right to question, debate, and form independent views on matters within their areas of study.
- h. Maintain professional boundaries and refrain from using their institutional authority to pursue personal, political, commercial, or ideological ends with students.

Article 3: Ethical Standards: Responsibilities to Colleagues

Faculty members at AIU are members of a community of scholars. The quality of that community depends on collegial relations built on mutual respect, intellectual honesty, and shared commitment to the institution's mission. Faculty members are expected to:

- a. Treat colleagues with respect and dignity in all professional interactions, including in committee work, peer review, departmental deliberations, and informal settings.
- b. Refrain from harassing or discriminating against colleagues on any basis, including nationality, gender, religion, rank, or contract type.
- c. Respect and defend the right of colleagues to pursue their scholarly inquiries freely, including when those inquiries lead to findings or conclusions that differ from the faculty member's own.
- d. Acknowledge academic debt to colleagues and strive to be objective in professional assessments of colleagues' work, whether in peer review, letters of reference, promotion evaluation, or other contexts.
- e. Participate constructively in faculty governance, committee work, and institutional responsibilities as a shared obligation of membership in the academic community.
- f. Raise concerns about a colleague's conduct through the proper channels established under this policy, rather than through informal criticism, social media, or other channels that could cause harm before the facts are established.

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

Article 4: Ethical Standards: Responsibilities to the Institution

Faculty members at AIU have undertaken obligations to the institution as a condition of their appointment. Their conduct as institutional members must reflect these obligations and must support AIU's mission, reputation, and pursuit of accreditation. Faculty members are expected to:

- Observe AIU's policies and procedures, provided they do not contravene academic freedom as protected under ACA-002, and engage constructively with their critique and revision through the Faculty Council and other legitimate governance channels.
- Give due and proper notice of their intention to resign or depart, in accordance with FAC-003, recognizing the impact of their departure on students, colleagues, and ongoing academic programs.
- Neither speak nor act on behalf of AIU without proper authorization. Faculty members who speak publicly in their areas of scholarship do so as individuals and must make clear that their views are their own and do not represent the University.
- Refrain from any conduct that could bring AIU's name or academic reputation into disrepute, whether on campus, in external professional settings, or in public communications including social media.
- Disclose actual or potential conflicts of interest to the VPAA in advance of any situation in which those interests could improperly influence their professional conduct, in accordance with GOV-002.
- Manage relationships with commercial, consultancy, or other external entities in a manner that is transparent, appropriately authorized, and not in conflict with their obligations to AIU or its students.
- Cooperate fully and honestly with any inquiry or investigation conducted under this policy or under any other institutional investigation process.

Article 5: Ethical Standards: Responsibilities as Citizens

Faculty members have rights and obligations as citizens that are distinct from, though connected to, their professional roles. AIU respects and supports these rights. When acting as citizens, faculty members are expected to:

- Exercise their rights of expression and civic participation freely, consistent with the laws of Kuwait and their professional obligations.
- Maintain accurate, measured, and respectful public expression in areas where they speak as citizens rather than as institutional spokespersons. The public often cannot readily distinguish between a faculty member speaking in a professional capacity and one speaking as a private citizen; this places a particular responsibility on faculty members to be clear about which they are doing.
- Recognize that their special position in the community as members of an institution of higher learning imposes special obligations when commenting publicly on academic, scientific, or

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

professional matters. Faculty members should at all times be accurate, show respect for the views of others, and avoid misrepresenting their scholarly authority.

- d. Comply with all applicable laws of Kuwait and any jurisdiction in which they operate, and conduct themselves in a manner consistent with the dignity of the academic profession.

Article 6: Categories of Professional Misconduct

1. Professional misconduct under this policy encompasses any act that materially violates the ethical standards established in Articles 1 through 5. The following are considered acts of professional misconduct at AIU:
 - Research misconduct, including fabrication, forgery, or plagiarism in any scholarly or professional activity
 - Unethical authorship, including ghost authorship, gift authorship, or deliberate exclusion of legitimate contributors
 - Misrepresentation of qualifications, credentials, achievements, or scholarly output to AIU, students, or external parties
 - Harassment of any student, colleague, staff member, or visitor, including sexual harassment
 - Discrimination against any student, colleague, or staff member on protected grounds
 - Exploitation of students or research assistants through misuse of supervisory authority
 - Breach of student confidentiality without authorization or legal justification
 - Retaliatory conduct against any person who has reported misconduct, participated in an investigation, or exercised rights under this policy
 - Conflict of interest not properly disclosed and managed under GOV-002
 - Misrepresentation of AIU's positions or policies in public statements or to external audiences
 - Conduct constituting a criminal offence under Kuwait law, whether occurring on or off campus, that materially affects the faculty member's fitness to hold an academic appointment
 - Any other conduct that materially and demonstrably violates the professional obligations established in this policy
2. The severity of misconduct is assessed on a graduated scale. The table below provides indicative guidance on the range of sanctions applicable to misconduct in each category. Final sanctions are determined through the process set out in the Procedures section of this policy and remain subject to the principles of proportionality, fairness, and due process.

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

Category	Examples of Conduct	Indicative Range	Sanction
Minor Misconduct	Isolated lapse in professional communication; minor citation error; single instance of tardiness with no pattern	Documented counselling; written guidance	
Moderate Misconduct	Repeated professional discourtesy; inadequate preparation with pattern of concern; failure to meet administrative obligations after warning; minor boundary violation	Written warning; professional development requirement; probationary review	
Serious Misconduct	Harassment or discriminatory conduct; retaliatory behavior; deliberate misrepresentation of credentials or output; plagiarism (25–49% or proven intent); serious breach of student confidentiality	Suspension without pay; demotion; withholding of promotion; formal reprimand recorded in personnel file	
Gross Misconduct	Sexual harassment; research fabrication or forgery; plagiarism ≥50%; repeated serious offences after sanction; conduct constituting a criminal offence under Kuwait law	Termination for cause; referral to legal authorities where required by law	

Article 7: Plagiarism in Research: Assessment Thresholds

- In cases where research plagiarism is alleged, the Ethics Review Committee shall use the following thresholds to guide the severity assessment, consistent with the approach adopted by AIU and other regional institutions:
 - Similarity of 50% or more, verified by an approved assessment tool and/or expert human review: constitutes gross research misconduct.
 - Similarity of between 25% and 49%: assessed on the balance of probabilities; the Committee evaluates whether it is more likely than not that deliberate misappropriation occurred.
 - Similarity of less than 25%: constitutes minor misconduct; corrective guidance and mandatory re-submission or correction of the affected work.

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

2. Self-plagiarism does not in itself constitute research misconduct. However, where self-plagiarism is identified, the Ethics Review Committee shall conduct an initial inquiry to assess the extent of the practice and provide corrective guidance. Repeated and deliberate self-plagiarism without acknowledgement may be treated as a more serious matter.
3. Errors in citation technique, where clearly unintentional and without adverse scholarly effect, do not constitute research misconduct. A preliminary inquiry shall be warranted to identify the extent and nature of such errors and to ensure they are corrected.

Article 8: Academic Freedom and the Limits of This Policy

1. This policy is not intended to restrict or discourage the exercise of academic freedom as protected under AIU's Academic Freedom Policy (ACA-002). The ethical standards in this policy apply to professional conduct and scholarly practices, not to the expression of legitimate scholarly views, however controversial, critical of institutional practices, or contrary to prevailing opinion those views may be.
2. Faculty members are entitled to the full protections of ACA-002 when teaching, conducting research, or engaging in public expression as scholars. No provision of this policy shall be interpreted or applied so as to penalize a faculty member for the expression of academic views, political opinions, or public commentary on matters of legitimate public concern, provided the faculty member acts in accordance with the obligations established in Article 5.

Article 9: Protection against Retaliation

1. AIU prohibits retaliation in any form against any person who, in good faith, reports alleged misconduct under this policy, participates in an inquiry or investigation, or provides testimony or evidence in connection with a report. Retaliation is itself an act of serious misconduct subject to the sanctions available under this policy, up to and including termination for cause.
2. Any person who believes they have been subjected to retaliation should report this to the VPAA immediately. Reports of retaliation will be investigated separately from, and in addition to, any underlying misconduct report.

Article 10: Malicious and Anonymous Reports

1. Reports made with the deliberate intent to harm or defame another member of the University community, rather than to raise a legitimate concern, are malicious and will not be tolerated. Where a report is found, following an initial inquiry, to have been made maliciously, the University may impose sanctions on the complainant proportionate to the harm caused.
2. Anonymous reports will be considered where they contain sufficient factual detail to warrant an initial inquiry. The Ethics Review Committee will assess whether the available evidence, taken

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

independently of the identity of the reporter, provides a credible basis for proceeding. Where an anonymous report does not contain sufficient factual detail to support any meaningful inquiry, it will be dismissed at the initial stage and documented accordingly.

3. No statute of limitations applies to acts of professional misconduct under this policy. The University retains the authority to investigate and act upon reports of misconduct relating to conduct that occurred during a faculty member's

Article 11: Duty to Report

1. All faculty members, and all members of the AIU academic community, are expected to maintain the highest standards of professional and academic integrity in their own conduct and to support these standards in their communities of practice. Where a faculty member becomes aware of conduct that they reasonably believe constitutes professional or research misconduct, they are expected to report this to the VPAA or through the Whistleblower portal established under GOV-003.
2. The duty to report does not require a faculty member to act as investigator or to assess the validity of the allegation. The duty is fulfilled by bringing the concern to the attention of the appropriate institutional authority. No faculty member will be penalized for reporting a concern in good faith, even if the concern is ultimately not substantiated following investigation.

Procedures

The following procedures govern the receipt, assessment, investigation, and resolution of reports of alleged professional misconduct by AIU faculty members. These procedures are designed to ensure fairness, impartiality, proportionality, and due process for both the complainant and the respondent. All participants in these procedures are required to maintain confidentiality to the extent permitted by institutional obligations and applicable law.

Ethics Review Committee: Composition and Mandate

1. The President, on the recommendation of the VPAA, appoints a standing Ethics Review Committee (ERC) comprising:
 - a. Three faculty members at the rank of Associate Professor or Professor, with at least one member from each of the three Pillars of AIU's academic structure
 - b. One senior academic administrator designated by the VPAA
 - c. One independent member with expertise in ethics, law, or professional conduct, who may be drawn from outside the University
2. The Chair of the ERC is elected by its members for a term of two years. ERC members serve three-year staggered terms. No more than one member may be replaced at the end of any single appointment cycle, so as to ensure continuity in the application of standards. A member of the

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

ERC shall recuse themselves from any matter in which they have a conflict of interest or a prior personal or professional relationship with the respondent or complainant.

3. The ERC is responsible for: conducting initial inquiries into reports of alleged misconduct; determining whether the evidence warrants formal investigation; conducting formal investigations; and submitting findings and recommendations to the VPAA and President. The ERC does not hold final sanctioning authority; that authority rests with the President.

Receiving and Classifying Reports

1. Reports of alleged misconduct may be submitted in writing to the VPAA Office, through the AIU Whistleblower portal, or, where the allegation concerns the VPAA, directly to the President.
2. Upon receipt, the VPAA classifies the report as one of three types: (a) Named report with sufficient factual detail; (b) Anonymous report with sufficient factual detail; (c) Anonymous report without sufficient factual detail.
3. Named reports and anonymous reports with sufficient detail are referred to the ERC for an initial inquiry within five working days of receipt. Anonymous reports without sufficient factual detail are dismissed and recorded accordingly.
4. The VPAA notifies the respondent that a report has been received and that an initial inquiry will be conducted, unless there is a specific operational reason, approved by the President, to delay such notification (for example, to prevent destruction of evidence).
5. All reports and related documentation are treated as confidential from the point of receipt. Disclosure is restricted to those directly involved in the inquiry or investigation and those with a legitimate institutional need to know.

Initial Inquiry

1. The ERC conducts an initial inquiry within fifteen working days of referral by the VPAA. The purpose of the initial inquiry is to determine whether the report contains a credible factual basis sufficient to warrant a formal investigation, not to adjudicate the allegation.
2. The initial inquiry may include: a review of the written report and any accompanying documentation; a review of relevant records, publications, or other documentary evidence; and, where deemed necessary by the ERC Chair, a preliminary interview with the respondent.
3. At the conclusion of the initial inquiry, the ERC submits a written determination to the VPAA recommending one of three outcomes: (a) the report does not contain a credible factual basis — dismiss; (b) the matter can be resolved informally through documented guidance without formal investigation; (c) the report contains sufficient basis for a formal investigation to proceed.
4. The VPAA reviews the ERC's determination and refers it, with a recommendation, to the President. The President issues the final decision on whether to dismiss, resolve informally, or proceed to formal investigation.
5. The respondent is informed in writing of the outcome of the initial inquiry. Where the inquiry is dismissed, the written record reflects this finding and no entry is made in the respondent's personnel file.

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

Formal Investigation

1. Where formal investigation is approved, the ERC convenes within ten working days. The respondent is formally notified of the specific allegation(s), the evidence basis, the composition of the ERC, and their rights throughout the process, including the right to respond in writing and in person.
2. The formal investigation may include: examination of all relevant documentation, data, publications, and records; written submissions from the respondent; interviews with the respondent, complainant, and witnesses; consultation with external academic experts where specialist assessment is required; and any other evidence-gathering steps necessary to establish the facts.
3. The respondent has the right to be accompanied at any interview by a colleague or representative of their choosing, provided that person is not themselves a party to the matter under investigation.
4. The standard of proof applied is the balance of probabilities: the ERC determines whether it is more likely than not that the alleged misconduct occurred.
5. The ERC completes the formal investigation and submits a written investigation report to the VPAA within forty-five working days of commencement. The report must include: a summary of the allegation; a summary of the evidence examined; findings of fact; a determination as to whether misconduct occurred; and a recommended sanction where misconduct is found. Extensions of up to fifteen working days may be granted by the President on written application from the ERC Chair.
6. The VPAA reviews the investigation report and submits a recommendation to the President.

Decision and Sanctions

1. The President holds final authority to impose sanctions under this policy. Before issuing a decision, the President provides the respondent with a copy of the investigation report (excluding information that could identify a protected witness) and an opportunity to make written representations within ten working days.
2. Sanctions are proportional to the severity of the proven misconduct and may include any combination of the following: formal written reprimand retained in the personnel file; requirement to complete a specified professional development programme; restriction of scholarly or supervisory activities; withholding of merit increase or promotion for a defined period; demotion in rank; suspension without pay for a defined period; termination for cause; or referral to Kuwait law enforcement where the conduct constitutes a criminal offence.
3. The President's decision is communicated in writing to the respondent, the VPAA, the relevant Dean, and HR. A copy of the decision is retained in the respondent's personnel file where a sanction has been imposed.
4. Where misconduct is proven, any scholarly work affected by the misconduct is removed from the respondent's portfolio for the purposes of annual performance evaluation and promotion assessment.

Appeal

1. The respondent may appeal the President's decision to the Board of Trustees, or to a Board committee designated for this purpose, within twenty working days of receiving the written decision.

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Faculty Professional Ethics Policy	Effective Date	14/06/2026
	Policy Subject	Faculty and Professional Staff	Last Review date	
	Policy Number	FAC-004-	Next Review date	14/06/2029
	Responsible Entity	Vic President for Academic Affairs	Approved By	President

2. Grounds for appeal are limited to: (a) procedural irregularity that materially affected the outcome; (b) the decision was not supported by the evidence on the balance of probabilities; or (c) the sanction was disproportionate to the proven misconduct.
3. The Board, or designated committee, reviews the appeal and may confirm, modify, or set aside the President's decision. The Board's decision on appeal is final. The Board will not ordinarily re-hear evidence but may direct a re-investigation in exceptional circumstances.
4. Faculty members pursuing an appeal under this procedure may also utilize the Faculty Grievance and Due Process Policy (FAC-002) in relation to procedural matters arising from the conduct of the investigation.

Record Retention and Confidentiality

1. All documentation generated in connection with a report, initial inquiry, or formal investigation under this policy shall be retained as confidential University records for a minimum of ten years from the date of the final decision, or for such longer period as may be required by applicable law or accreditation requirements.
2. Where a report is dismissed following initial inquiry, no record of the allegation shall be placed in the respondent's personnel file, and no reference shall be made to the dismissed matter in any subsequent evaluation or employment decision.
3. Access to investigation records is restricted to the President, the VPAA, the Dean of the relevant School, HR, and any person with a specific and documented institutional need to know. Access requests are managed by the VPAA Office.
4. Confidentiality obligations apply to all participants in the process, including ERC members, witnesses, complainants, and the respondent. Breach of confidentiality during an ongoing inquiry or investigation is itself a breach of professional conduct and may be subject to separate action.

Policy Oversight and Annual Reporting

1. The VPAA is responsible for overseeing the administration of this policy and for ensuring that the ERC is properly constituted, trained, and resourced.
2. The ERC shall submit an anonymized annual report to the VPAA summarizing: the number of reports received; the number dismissed at initial inquiry; the number proceeding to formal investigation; the nature of findings where misconduct was determined; and any systemic concerns identified. This report does not include any information that could identify respondents or complainants.
3. The VPAA includes relevant aggregated data in the Annual Institutional Effectiveness Report submitted to the Faculty Council and the Board of Trustees.
4. This policy shall be reviewed by the ERC every three years, or more frequently following any material change in accreditation standards, applicable law, or institutional structure. Any proposed amendment shall be submitted to the Faculty Council for review and recommendation before approval by the President.

President Signature

Signature: _____ Date: _____