

ADMINISTRATIVE & EMPLOYMENT MANUAL

for ACADEMIC PERSONNEL
in HIGHER EDUCATION

2023 EDITION



*Inspired by Mission,
Driven by Excellence*

Chapter Nine

ADMINISTRATIVE DISCIPLINE AND GRIEVANCE PROCESSING MECHANISMS

I. ADMINISTRATIVE DISCIPLINE

A. DISCIPLINE

Every personnel is duty-bound to perform his/her assigned tasks or the functions of his/her office with honesty, sincerity, and integrity. He/She should faithfully render work appertaining to his/her position and assignment in fairness to the University as his/her employer. The personnel by virtue of his/her employment contract with the University should keep and maintain a reputation within the context of good morals and propriety at all times.

B. DECORUM

Every personnel is expected to practice the elementary rules of discipline, obedience, respect, and human relations with his/her superiors and fellow personnel at all times. He/She should act in a manner befitting the functions of his/her office, observing elementary principles of social decorum and be responsive to the needs of the people with whom he/she deals at all times. Every personnel should do his/her job with sobriety. Under no circumstance will personnel under the influence of liquor or mind-altering substances be allowed to be in his/her workplace. Every personnel is expected to speak well of the University. In any contract or statement which involves the University by way of reference, the prior knowledge and written consent of the University must first be obtained before such reference is made.

Discipline of personnel shall be primarily governed by the Code of Proper Conduct for SMU Personnel (Refer to

Annex B), and the SMU Anti-Sexual Harassment Implementing Guidelines (Refer to Annex C). They are supplemented by applicable provisions of this Manual and such other promulgations, circulars, and memoranda as may be enacted by the SMU Administration from time to time. Matters which are not covered by the Code of Proper Conduct for SMU Personnel and the SMU Anti-Sexual Harassment Implementing Guidelines may be threshed out in accordance with the procedure delineated below.

II. INSTITUTIONAL GRIEVANCE PROCESSING MECHANISMS

A. PURPOSE

The cultivation of a healthy working relationship within the academic community is essential to effective and efficient delivery of services. Thus, all sectors of the University should strive to establish a climate conducive to personal and professional growth, and reflective of the University's core values of Excellence, Innovation, Communion and Passion for Christ's Mission.

However, like in any human organization, incidents that mar the most wholesome of relationships are bound to happen. Every now and then, personnel may come up with issues pertaining to their work, University policies and procedures, their colleagues and such other factors which contribute to their dissatisfaction and are oftentimes translated into mediocre output and half-hearted service.

It is for the above reason that several grievance procedures were established to resolve personnel concerns in an equitable and timely fashion. As befits every Christian in an academic community, grievances of whatever nature are best settled through sincere dialogue, mediation, conciliation, alternative dispute resolution and negotiation.

B. GRIEVANCE PROCEDURE

The kind of procedure to be undertaken is dependent upon the nature and kind of the grievance, and they shall be dealt with in accordance with the applicable rules. Hence, grievances pertaining to conduct/s that are covered by the Code of Proper Conduct for SMU Personnel and the SMU Anti-Sexual Harassment Implementing Guidelines shall be dealt with in accordance with their provisions. On the other hand, grievances pertaining to terms and conditions of employment which are covered by the Collective Bargaining Agreement (CBA) shall be governed by the grievance procedure established therein. All other grievances not covered by the above stated grievance procedures shall be threshed out in accordance with the following procedure:

1. Every grievance/issue/concern is first expressed orally to the immediate superior/Head of office concerned. Grievances/issues/concerns that are made orally are considered informal and are to be settled informally. If the matter concerns personnel from different departments/offices, the heads of concerned offices should work collaboratively for its amicable settlement.
2. For issues submitted in written form to the President, he/she may direct the supervising Vice President to settle the issues amicably between the parties with a written amicable settlement or compromise agreement executed and signed by both parties and the supervising Vice President.
3. If the matter is not settled amicably, the immediate superior/Head of office concerned shall require the concerned personnel to reduce his/her grievance/issue/concern into writing. He/She must attach all available evidence in his/her possession substantiating claim/grievance. The immediate

superior/head must He/She may also require the other concerned party to explain his/her side.

4. On the basis of the documents thus submitted, and any interview clarifications by the head, the immediate superior/Head of office concerned shall make a decision.
5. The decision of the immediate superior/Head of office concerned shall be final, unless it is brought on appeal for review to the supervising Vice President whose decision is executory.

Annex B

CODE OF PROPER CONDUCT FOR SMU PERSONNEL

Section 1. Statement of Policy. Proper conduct plays a very vital role in achieving the institutional mission of integral formation of person inspired by Christ's mission and driven by excellence, innovation, and communion. As such, the University expects all its personnel to contribute their share in this effort by following the prescribed norms of proper conduct and behavior as spelled out in this Code, the Manuals for Academic and Non-Academic Personnel, the SMU Anti-Sexual Harassment Implementing Guidelines, and such other rules and regulations as may be promulgated by the University in the future.

The Code of Proper Conduct is aimed primarily at developing self-discipline among SMU personnel. For this reason, it should be considered as an instrument for the maintenance of proper conduct and should not be viewed from a punitive perspective. It also seeks to correct unbecoming conduct and unsatisfactory work habits in order to maintain a clean, healthy, safe, friendly, productive and pleasant work environment.

Section 2. Scope. The provisions of this Code shall apply to all academic and non-academic personnel of Saint Mary's University regardless of their employment classification and status. It shall apply not only to all acts committed within the campus of SMU, but also to those committed outside the University domain insofar as it relates to the performance of the duties and responsibilities of its personnel, or it affects SMU's name and good reputation.

Section 3. General Guidelines

3.1 The immediate superior shall exercise primary jurisdiction in implementing this Code. As such, he/she shall be primarily

- responsible in enforcing its provisions and other institutional rules and regulations, undertake appropriate corrective actions, and initiate administrative complaints when warranted by circumstances.
- 3.2 The rudiments/requirements of due process, both procedural and substantive shall always be observed prior to the imposition of appropriate administrative sanction.
 - 3.3 When the unacceptable behavior of the personnel is established by substantial evidence, the appropriate corrective action shall be promptly and consistently applied. Aggravating and mitigating circumstances may be considered on a case-to-case basis and proven evidence.
 - 3.4 When the unacceptable behavior involves damage to property, in addition to the imposition of appropriate administrative sanction, the respondent shall also be required to restitute or pay for the lost or damaged property based on its replacement value, repair the damage caused, or be required to indemnify its consequential damages if applicable under the circumstances.
 - 3.5 The list of unacceptable behavior and sanctions in this Code is not exclusive. Other unacceptable behavior and their corresponding sanction are spelled out in the Manual of Regulations for Private Higher Education (MORPHE), Manual of Regulations for Private Schools (MRPS), Labor Code of the Philippines and in such other circulars, and memoranda as may be promulgated by the SMU Administration from time to time, subject only to the requirement of proper dissemination.
 - 3.6 When a single act constitutes two or more unacceptable behavior under this Code, the corrective action for the more serious unacceptable behavior shall be applied.
 - 3.7 The proceedings under this Code are administrative in nature. As such, the University is not obliged to afford the parties a trial-type proceeding. Neither is the University bound by technical rules of procedure or evidence applied in the courts of law or agencies exercising quasi-judicial functions. The submission of pleading, countervailing written evidence,

affidavits, position papers, memorandum, documents, or the like shall be enough evidence to be considered except for clarificatory purposes. The parties may seek the assistance of their legal counsel but the latter is not allowed to directly participate in the proceedings.

Section 4. Unacceptable Behaviors and Administrative Sanctions.

4.1 Classification of Unacceptable Behaviors. Unacceptable behaviors may be categorized under any of the following:

CODE	DESCRIPTION	DEFINITION
I	Light	An act that is slightly detrimental to the interest of the University but can be corrected by Counseling upon first offense.
II	Less Grave	An act that is moderately detrimental to the interest of the University but can be corrected by Written Reprimand upon first offense.
III	Grave	An act that is gravely detrimental to the interest of the University but can be corrected by Suspension or Demotion upon first offense.
IV	Very Grave	An act that is very detrimental to the interest of the University and is normally penalized by Demotion or Dismissal upon first offense under the Labor Code or the Manual of Regulations for Private Higher Education (MORPHE).

4.2 Imposable Corrective Actions. The following corrective

actions shall be imposed upon a personnel who is established by substantial evidence to have committed any unacceptable behavior:

CODE	DESCRIPTION	PROCESS INVOLVED
C	Counseling	The immediate superior talks privately to the concerned personnel to explain why a corrective action is taken with the aim of helping him realize that his action was improper and how he can improve in the future. The immediate superior should file a simple report, which specifies the date of counseling and a brief description (content) of the counseling activity. The letter/note shall be received and signed by the concerned personnel and shall be placed in his 201 files in the HRDO.
W	Written Reprimand	A formal letter is given to the concerned personnel specifying the unacceptable behavior he has committed and reminding him to desist from repeating such behavior. The letter/note shall be received and signed by the concerned personnel and shall be placed in his 201 files in the HRDO.
S	Suspension	A formal letter is given to the concerned personnel informing him that he will not report for work for a certain period without pay as corrective action for an unacceptable behavior he has committed. The number of days of suspension may range from one to 30 working days, depending on the circumstances and gravity of the

CODE	DESCRIPTION	PROCESS INVOLVED
		unacceptable behavior. The letter/note shall be received and signed by the concerned personnel and shall be placed in his/her 201 files in the HRDO.
De	Demotion	A formal letter is given to the concerned informing him that due to an unacceptable behavior he has committed, he/she is relegated to a subordinate or less important position, constituting a reduction to a lower rank/step effective on a certain date. The letter/note shall be received and signed by the concerned personnel and shall be placed in his/her 201 files in the HRDO.
Di	Dismissal	A formal letter is given to the concerned informing him that due to an unacceptable behavior he has committed, he is dismissed from the University effective a certain date. The letter/note shall be received and signed by the concerned personnel and shall be placed in his 201 files in the HRDO.

4.3 List of Unacceptable Behaviors and Corrective Actions. In the exercise of its disciplinary authority over its academic and non-academic personnel, the University hereby declares the following acts as Unacceptable behaviors and hereby provides for their corresponding administrative sanctions:

Table I
OFFENSES AGAINST PERSONS

UNACCEPTABLE BEHAVIOR	CLASSIFI CATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
1. Any act constituting threat, or any attempt to inflict bodily harm, intimidation or coercion against a personnel or student.	II III	W S	S Di	Di	
2. Interfering or obstructing in any way with the work of fellow personnel.	II III	W S	S Di	Di	
3. Inflicting bodily injury upon a student, clients or another personnel or have in fact inflicted or caused bodily harm through other persons.	III IV	S Di	Di		
4. Bringing into University premises other persons not connected with the University to attack or have in fact attacked another person within University premises.	III IV	S Di	Di		
5. Inflicting bodily injury upon another personnel or student, or school guest at any time within or outside	III IV	S Di	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFI CATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
school premises, job sites or property.					
6. Commission of a crime or offense by the personnel against a co-employee or any of his/her superiors or any immediate member of his/her family due to work-related reason/s.	III IV	S Di	Di		
7. Any act or utterance amounting to disrespect, humiliation and embarrassment of students, other personnel, visitors or persons in authority.	II III IV	W S Di	S Di	Di	
8. Uttering, writing, "texting", chatting, e-mailing or posting/uploading malicious, obscene, insulting or offensive words, photos, drawings or videos against co-workers, students, guests or superiors.	II III IV	W S Di	S Di	Di	
9. Defamation (libel, slander) or public imputation of a crime, vice or defect or act tending to cause dishonor	II III IV	W S Di	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
or discredit to a person in authority, other personnel, students or guests.					
10. Instigating a fight with another personnel, a student or school guest inside or outside school premises, irrespective as to who started or initiated the fight.	I II III IV	C W S Di	W S Di	S Di	Di
11. Fighting with another personnel, a student or school guest inside or outside school premises, irrespective as to who started or initiated the fight.	II III IV	W S Di	S Di	Di	
12. Inflicting corporal punishment on student/s.	III IV	S Di	Di		
13. Participation in hazing.	III IV	S Di	Di		
14. Intentional filing of malicious and unfounded complaints against a student, employee or university authority.	II III IV	W S Di	S Di	Di	
15. Reckless driving resulting in an accident where a third party has been injured or	III IV	S Di			

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
killed.					
16. Other behaviors analogous to the foregoing.	I	C	W	S	Di
	II	W	S	Di	
	III	S	Di		
	IV	Di			

Table II
OFFENSES AGAINST PROPERTY AND PROPERTY RIGHTS

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
1. Any damage caused to University property or the property of another personnel or student during school time and in school premises either willfully or through negligence.	I	C	W	S	Di
	II	W	S	Di	
	III	S	Di		
	IV	Di			
2. Vandalism in any form, act of sabotage or intentional destruction of University property.	II	W	S	Di	
	III	S	Di		
	IV	Di			
3. Bringing into University	III	S	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
premises other persons not connected with the University to cause damage to property.	IV	Di			
4. Any act of theft or any attempt to commit theft or robbery of any University property or that of personnel or student.	II III IV	W S Di	S Di	Di	
5. Misuse and/or malversation of University funds or trust funds or similar acts of dishonesty.	III IV	S Di	Di		
6. Substituting or attempting to substitute University material or equipment with another of inferior quality with intent to defraud the University.	III IV	S Di	Di		
7. Obtaining supplies or materials on fraudulent orders, and conniving or colluding with the personnel doing it.	III IV	S Di	Di		
8. Using the time, material, equipment, facilities, room or building of the University on matters alien to the University's business and/or	I II III IV	C W S Di	W S Di	S Di	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
to promote personal interest.					
9. Reckless driving resulting in injury, death or damage to university vehicle or property	III IV	S Di	Di		
10. Submitting false or fraudulent money claims against the University or submitting forged certification or documents.	III IV	S Di	Di		
11. Engaging in fictitious transactions, fake invoicing, deals padding and other sales malpractices.	III IV	S Di	Di		
12. Failure to report immediately to University authorities any damage to its property caused by his/her actions.	II III IV	W S Di	S Di	Di	
13. Unauthorized use of University equipment to develop unauthorized software, programs or systems or to spread viruses or to view pornographic materials or to engage in computer games and other similar acts.	III IV	S Di	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFI CATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
14. Unauthorized revision or reproduction of systems, computer programs, systems configuration or settings and other similar acts.	III IV	S Di	Di		
15. Unauthorized reproduction, distribution or selling of University instructional materials or any University documents.	III IV	S Di	Di		
16. Other behaviors analogous to the foregoing.	I II III IV	C W S Di	W S Di	S Di	Di

Table III
OFFENSES AGAINST UNIVERSITY INTEREST AND POLICIES

UNACCEPTABLE BEHAVIOR	CLASSIFI CATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
1. Not wearing the prescribed	I	C	W	S	Di

UNACCEPTABLE BEHAVIOR	CLASSIFI CATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
uniform/appropriate attire and I.D. during work hours without a valid reason or prior approval.					
2. Failure to record one's attendance.	I	C	W	S	Di
3. Fraudulently registering time or tampering daily time record or that of another personnel.	II	W	S	S	Di
4. Falsification or irregularities in the accomplishment or keeping of daily time record.	II	W	S	S	Di
5. Fraudulently obtaining or releasing money, property or documents from the University, either personally or in collusion with others.	II III IV	W S Di	S Di	Di	
6. Intent to deceive by misrepresentation in withdrawing or attempting to withdraw the salary or benefits of another personnel.	III	S	Di		
7. Failure to remit any and all collections and other articles whether in cash or	II III IV	W S Di	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
check credit.					
8. Accepting directly or indirectly any sum of money, unauthorized commission, offer or promise, in consideration of any act, contract, decision of service connected with the discharge of the official duties resulting to a disadvantage to the University. Prosecution under this paragraph shall be without prejudice to the filing of a civil case for the damages sustained by the University.	II III IV	W S Di	S Di	Di	
9. Offering or accepting anything of value in exchange for a job, work assignment, work location or favorable condition of employment.	II III IV	W S Di	S Di	Di	
10. Destroying or attempting to destroy University records to conceal irregular or illicit transactions to the prejudice of the University.	III IV	S Di	Di		
11. Submitting false documents	IV	De	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFI CATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
or false statements or willful misrepresentation or concealment of disqualification to secure employment or promotion in the University.					
12. Unauthorized use of University logo, letterhead and other University emblems.	II III	W S	S Di	Di	
13. Giving ID card or identification material to any person not entitled to it or assisting non-personnel or unauthorized person to enter the University premises and restricted area without permission from concerned University authority.	II III	W S	S Di	Di	
14. Giving away restricted or classified University information, form, document, or other confidential papers without authorization or clearance from the University President or supervising Vice President to any	II III IV	W S Di	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
outsider or to those not authorized to possess such materials. This is without prejudice to the filing of appropriate case against the offender.					
15. Unauthorized issuing of official statement, policies, pronouncements to the public, partners, clients, etc. without the prior knowledge and approval of the University President.	II III IV	W S Di	S Di	Di	
16. Making vicious or malicious statements that are detrimental to the University.	II III	W S	S Di	Di	
17. Tampering, intentionally destroying or keeping University files, forms, documents or other similar data without proper authorization, whether confidential or not.	II III IV	W S Di	S Di	Di	
18. Unauthorized recording of conversations in the course of official business without the knowledge of the persons involved.	II III IV	W S Di	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
19. Performing certain acts amounting to grave abuse of authority, or constituting a violation of University policy, which bind or tend to bind the University, or which would result to damage or loss on its part.	II III IV	W S Di	S Di	Di	
20. Conflict of interest or engaging in any unauthorized commercial activities during work hours that would interfere with the performance of one's duties.	I II III	C W S	W S Di	S Di	Di
21. Soliciting or collecting money or other things of value from personnel or students or parents for any purpose without prior written authorization from proper University authorities.	II III IV	W S Di	S Di	Di	
22. Contracting loans from students or their parents where trust relationship is involved.	II III	W S	S Di	Di	
23. Incurring financial obligations outside where	I	C	W	S	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
creditors disturb university officials or other employees with repeated reminders and notices about such financial obligations of the employee.					
24. Exercising any act of authority towards another employee under false pretense.	II III IV	W S Di	S Di	Di	
25. Usurpation and/or misrepresentation of official University function or position resulting in prejudice to the interest of the University.	II III	W S	S Di	Di	
26. Abuse of authority in the discharge of one's duty to gain profit or advantage from other personnel, students, parents, guests, clients and others.	II III IV	W S Di	S Di	Di	
27. Changing of exam schedules not approved by the Vice President for Academic Affairs upon recommendation of the Academic Dean or use of proctors not authorized by	I II	C W	W S	S Di	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
the Academic Dean.					
28. Selling merchandise during class/office time or unauthorized tickets to students.	II III	W S	S Di	Di	
29. Teaching or working in other institutions without prior written permission from the University President.	II	W	S	Di	
30. Administering first term, second term or midterm exams to a student who fails to present the test permit	II	W	S	Di	
31. Incurring three written reprimands in one school year.	III	S	Di		
32. Incurring three suspensions within two school years.	IV	Di			
33. Padding of university documents and records.	III IV	S Di	Di		
34. Uttering, writing, "texting", e-mailing or posting/uploading malicious, obscene, insulting or offensive words photos or videos against the institution.	II III IV	W S Di	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
35. Proselytizing for other religious sects within the campus.	II	W	S	Di	
36. Recruiting students and personnel to join terrorist/rebel groups officially declared by the Government.	II	W	S	Di	
37. Other behaviors analogous to the foregoing/Violation of University policies, rules and regulations.	I	C	W	S	Di
	II	W	S	Di	
	III	S	Di		
	IV	Di			

Table IV
OFFENSES AGAINST PROFESSIONAL RESPONSIBILITIES

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
1. Inefficiency, negligence or incompetence in the performance of one's duties.	II	W	S	De	Di
	III	S	Di		
	IV	De			

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
2. Habitual absences and tardiness.	II III IV	W S Di	S Di	Di	
3. Abandonment of employment or assignment.	IV	Di			
4. Making cheating possible or intimating answers in a quiz or exam whether for monetary gain or not.	II III IV	W S Di	S Di	Di	
5. "Selling" grades/ test papers or accepting cash or anything of value in lieu of compliance with school requirements.	IV	Di			
6. Absence without official leave or tardiness or early dismissal or leaving class without permission.	I II	C W	W S	S Di	Di
7. Failure to submit student record, grading sheets, completion form, test booklets and other requirements on time.	I II	C W	W S	S Di	Di
8. Refusal to submit student records such as grading sheets, completion form test booklets, etc. when directed to do so by	III IV	S Di	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
University authorities .					
9. Assigning grades not adequately supported by student performance records or submitting erroneous grades.	II	W	S	Di	
10. Unfair treatment of students such as favoritism or bias for or against some students.	I	C	W	S	Di
11. Using class time for unauthorized non-class activities or holding classes in venues not approved by University authorities.	II	W	S	Di	
12. Losing/misplacing school records which cause prejudice to the University or negligence in keeping student or University records or tampering with or falsifying any of said records/documents	II III IV	W S Di	S Di	Di	
13. Failure to inform the HRDO in writing within 30 days of any change in civil status, address, practice of profession, election or	I II III	C W S	W S Di	S Di	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
appointment as public official, or membership in any organization.					
14. (For Probationary/Part time Personnel) Unsatisfactory performance in any of these criteria in the semestral performance evaluation: Student Evaluation, or Department Head Evaluation or Dean Evaluation or Head of Office Evaluation.	II III IV	W De Dismissal or Non-renewal of contract			
15. (For Permanent Personnel) Unsatisfactory performance in the Annual Performance Evaluation	II	W	S	De	Di
16. Wasting time or loitering, or sleeping during official work hours or malingering or feigning illness to avoid doing assigned work.	I II III	C W S	W S Di	S Di	Di
17. Leaving work assignment or University premises during official work hours without previous permission from the immediate superior.	I II III	C W S	W S Di	S Di	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
18. Intellectual dishonesty or plagiarism.	II	W	S	De	Di
19. Violation of the Code of Professional Ethics of one's profession (e.g. Teacher, Nurse, Engineer, Accountant).	I	C	W	S	Di
	II	W	S	Di	
	III	S	Di		
	IV	Di			
20. Non-renewal of professional license or any other certifications and accreditations.	II	W	S	De	Di
21. Other behaviors analogous to the foregoing.	I	C	W	S	Di
	II	W	S	Di	
	III	S	Di		
	IV	Di			

Table V
OFFENSES AGAINST GENERAL SECURITY AND SAFETY,
PUBLIC ORDER AND PUBLIC HEALTH

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
1. Forcing entry into the office or University premises during off-hours without necessary overtime work authorization or permission from concerned University authorities or entering restricted areas without specific permission.	III IV	S Di	Di		
2. Unauthorized possession of key that can open the locker, drawer or office of another personnel.	II III IV	W S Di	S Di	Di	
3. Unauthorized carrying of firearms, explosives, inflammable materials and other deadly weapons such as knives, bolos, ice picks, bows and arrows, etc. inside University premises or jobsites.	III IV	S Di	Di		
4. Refusal or failure to submit	II	W	S	Di	

to security and safety requirements/inspection	III	S	Di		
5. Removal of safety devices without authorization.	II III	W S	S Di	Di	
6. Driving company vehicle without a valid driver's license or authority from proper University authority.	II III	W S	S Di	Di	
7. Failure to follow University rules on proper maintenance of its facilities such as putting off lights and air-conditioning units, locking rooms, etc.	II	W	S	Di	
8. Smoking/vaping inside the University premises.	I	C	W	S	Di
9. Failure to report or willfully withholding information thereof from University authorities if having a serious contagious disease which may endanger other personnel and knowing about it yet	III	S	Di		
10. Failure to observe University and general health safety practices and regulations, or willful disregard of office directives relating to sanitary conditions of the office, orderliness and security.	I II	C W	W S	S Di	Di

11. Concealment and/or manifestation of strong emotional disturbance or instability.	I	C	W	S	Di
	II	W	S	Di	
	III	S	Di		
	IV	Di			
12. Failure to follow CHSF and Green Campus Guidelines.	I	C	W	S	Di
	II	W	S	Di	
13. Failure to report and register personal property brought into and brought out from the University premises.	I	C	W	S	Di
	II	W	S	Di	
14. Other behaviors analogous to the foregoing.	I	C	W	S	Di
	II	W	S	Di	
	III	S	Di		
	IV	Di			

Table VI
OFFENSES AGAINST PUBLIC MORALS

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
1. Disgraceful or immoral conduct/ Notoriously unacceptable behavior.	III	S	Di		
	IV	Di			
2. Conviction of any crime involving moral turpitude.	IV	Di			
3. Taking part in any gambling, lottery or any other game of	I	C	W	S	Di
	II	W	S	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFI CATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
chance using the time and/or within premises of the University					
4. Bringing into University premises, possession or taking in any drug prohibited by law inside University premises or jobsite or reporting for work under the influence of the same.	III IV	S Di	Di		
5. Bringing into or possession of alcoholic beverage within University premises, unless officially approved by the Vice President for Administration or University President as part of official events.	I	C	W	S	Di
6. Drinking liquor or any intoxicating drink while in the performance of one's duty or within the University premises or reporting for work under the influence of liquor, unless officially approved by the Vice President for Administration or University President as	II III	W S	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
part of official events.					
7. Driving while under the influence of alcohol using University vehicle.	III	S	Di		
8. Engaging in scandalous or indecent act within or outside the University.	III IV	S Di	Di		
9. Using abusive or profane language within University premises or at any place during official business or University- related activity.	II III	W S	S Di	Di	
10. Any discourteous act to a client, customer or guest in the performance of one's duties.	I II III	C W S	W S Di	S Di	Di
11. Showing or exhibiting pornographic materials, pictures or literature within University premises or jobsites or at any place during official business or University- related activity.	I II	C W	W S	S Di	Di
12. Rumor mongering or making false, vicious or malicious statement about personnel or students.	II III	W S	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFI CATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
13. Having illicit relations with co-personnel, students, or other persons in or outside the University.	III IV	S Di	Di		
14. Engaging in relationships with students or other persons under scandalous circumstance.	II III IV	W S Di	S Di	Di	
15. Engaging in extramarital relationship.	IV	Di			
16. Premarital sexual affairs or relationship, which may or may not result to pregnancy (the corresponding corrective action or sanction for female employees applies to male employees who engage in premarital sexual affairs or relationship or who fathers a child outside marriage).	III	S			
17. Concealment of pregnancy before Church marriage (the corresponding corrective action or sanction for female employees applies to male employees who fathers a child outside marriage).	II III	W S	S		

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
18. Indecent conduct including: a. Lewdness, acts of lasciviousness, sexual advances inside or outside the University premises; and b. Texting, messaging, posting, uploading lewd or pornographic messages, photos or videos of oneself.	III IV	S Di	Di		
19. Any behaviors analogous to the foregoing.	I II III IV	C W S Di	W S Di	S Di	Di

Table VII
OFFENSES AGAINST ADMINISTRATION AND AUTHORITIES

UNACCEPTABLE BEHAVIOR	CLASSIFI CATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
1. Any act of disobedience or insubordination (i.e., refusal to follow reasonable and lawful orders or instructions of superior in connection with one's work).	II III IV	W S Di	S Di	Di	
2. Willful disregard of office directives relating to economical use of office supplies and equipment.	I II	C W	W S	S Di	Di
3. Failure to follow prescribed procedures resulting to loss or pilferage or accidents.	II III	W S	S Di	Di	
4. Willful breach by the personnel of the trust reposed in him by his superior or any University authority	III IV	S Di	Di		
5. Non-cooperation in any authorized University activity or group work.	I	C	W	S	Di
6. Refusing to answer the questions or cooperate in any investigation	III IV	S Di	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1 st	2 nd	3 rd	4 th
authorized or conducted by the University or concealing matter which is material to the case, unless such answer would violate one's right/s.					
7. Intentionally using or giving false testimony, document, or information which is material to the case in any University investigation.	III IV	S Di	Di		
8. Organizing activities involving students and/or accompanying them without prior written permission from University authorities.	II III	W S	S Di	Di	
9. Inciting, instigating, or participating in any riot, disorder, unlawful rallies and demonstrations against the University.	III IV	S Di	Di		
10. Other acts analogous to those listed above.	I II III IV	C W S Di	W S Di	S Di	Di

Section 5. Procedure to be Followed for Unacceptable Behaviors that Warrant Counseling or Reprimand. To comply with the requirements of due process before the imposition of proper administrative sanction, the following procedure shall be observed:

- 5.1 Any person (personnel, student, parent, alumni, client, visitor, etc.) may file a written complaint against any personnel of Saint Mary's University for an unacceptable behavior listed above. The complaint shall be filed in the office of the immediate superior of the subject personnel. Complaints that are filed to any school personnel shall be referred to the Vice President for Administration and the immediate superior of the personnel being complained about (hereinafter to be referred to as "the respondent").
- a. When reports or complaints are conveyed in oral, phone, text, chat messages, or through social media platform to any school personnel, the receiver shall require the complainant to reduce the same into writing and file with the University. The University reserves the right to refuse to proceed with the administrative inquiry until the complainant complies with this condition. For violation of University rules and regulations, the immediate superior should initiate the administrative process against the respondent.
 - b. Anonymous complaints that are received by any school personnel shall be forwarded to the HRDO who shall furnish the immediate superior and the Vice President for Administration the copy of the complaint. If the complaint contains verifiable information, the immediate superior shall conduct proper investigation to determine if there is sufficient basis to initiate an administrative proceeding against the personnel concerned.

- 5.2 Upon receipt of the complaint, or when a personnel violates University rules and regulations, the immediate superior shall prepare a written directive addressed to the respondent requiring him/her to explain within a period not exceeding 72 hours from receipt why he/she should not be administratively sanctioned for a specified violation of the Code of Proper Conduct for SMU Personnel. Relevant documents, if any, evidencing the infraction committed by the respondent shall be attached in the written directive. The written directive, as well as the attachments, must be personally served upon the respondent.
- 5.3 If the respondent fails to file his/her written explanation/answer within the prescribed period, the immediate superior shall prepare five copies of the decision duly noted by the supervising authority mentioned in Section 5.4 within five (5) working days from the expiration of the term given the respondent. The decision must be personally served upon the respondent and receipt thereof duly acknowledged by him/her. The copies shall be distributed as follows:
- 1st copy- the respondent
 - 2nd copy- file of the immediate superior
 - 3rd copy- HRDO copy to be filed in the 201 file of the respondent
 - 4th copy- complainant
 - 5th copy- Legal Counsel
- 5.4 If the respondent files his/her answer, the immediate superior shall initiate a mediation or conciliation to settle the issue within two (2) working days after receipt of the response/answer. If unresolved, the immediate superior conducts an investigation. For this purpose, he/she may require the complainant and the respondent to submit their evidence. On the basis thereof, he/she shall make the corresponding report, which shall be noted by the proper approving authority.

ERRING PERSONNEL	IMMEDIATE SUPERIOR	SUPERVISING AUTHORITY
Academic Personnel	Academic Dean	Vice President for Academic Affairs
Non-Academic Personnel under Vice President for Mission and Identity	Head of Office	Vice President for Mission and Identity
Non-Academic Personnel under Vice President for Finance	Head of Section/Office	Vice President for Finance
Non-Academic Personnel under Vice President for Administration	Head of Office	Vice President for Administration
Academic Department Head/ Coordinator	Academic Dean	Vice President for Academic Affairs
Office Head/ Administrative Dean/ Administrative Director	Supervising Vice President	University President
Academic Dean	Vice President for Academic Affairs	University President
Vice President	Advisory Board	University President

- 5.5 If after investigation, the immediate superior finds that the respondent is liable/not liable of the charge, he/she shall prepare five copies of the decision duly noted by the supervising authority mentioned in Section 5.4 within seven (7) working days after the expiration of the two (2) days period. The same must be personally served upon the respondent and receipt thereof duly acknowledged by him/her. The copies shall be distributed as follows:
- 1st copy- the respondent
 - 2nd copy- file of the immediate superior
 - 3rd copy- HRDO copy to be filed in the 201 file of the respondent
 - 4th copy- complainant
 - 5th copy- Legal Counsel
- 5.6 The respondent or complainant may appeal the findings of the immediate superior to the Office of the University President whose findings shall be final and executory.

Section 6. Procedure to be Followed for Unacceptable Behaviors that Merit Suspension, Demotion or Dismissal. To comply with the requirements of due process before the imposition of proper administrative sanction, the following procedure shall be observed:

- a. Any person (personnel, student, parent, alumni, client, visitor, etc.) may file a written complaint against any personnel of Saint Mary's University for an unacceptable behavior listed above. The complaint shall be filed in the office of the immediate superior of the subject personnel. Complaints that are filed to any school personnel} shall be referred to the immediate superior of the personnel being complained about (hereinafter to be referred to as "the respondent" and to the Vice President for Administration. When reports or

complaints are conveyed in oral, phone, text, chat messages, or through social media platform to any school personnel, the receiver shall require the complainant to reduce the same into writing and file with the University. The University reserves the right to refuse to proceed with administrative inquiry until the complainant complies with this condition. For violation of University rules and regulations, the immediate superior should initiate the administrative process against the respondent.

- b. Anonymous complaints that are received by any school personnel shall be forwarded to the HRDO who shall furnish the immediate superior and the Vice President for Administration the copy of the complaint. If the complaint contains verifiable information, the immediate superior shall conduct proper investigation to determine if there is sufficient basis to initiate an administrative proceeding against the personnel concerned.

Upon receipt of the complaint, or when a personnel violates University rules and regulations, the immediate superior shall prepare a written directive addressed to the respondent requiring him/her to explain within a period not exceeding 48 hours from receipt why he/she should not be administratively sanctioned for a specified violation of the Code of Proper Conduct for SMU Personnel. Relevant documents, if any, evidencing the infraction committed by the respondent shall be attached in the written directive. The written directive, as well as the attachments, must be personally served upon the respondent.

- 6.2 Upon receipt of the complaint, or when a personnel violates University rules and regulations, the immediate superior shall prepare a written directive addressed to the respondent

requiring him/her to explain within a period not less than 48 hours why he/she should not be administratively sanctioned. Relevant documents evidencing the infraction committed by the respondent shall be attached in the written directive. The written directive, as well as the attachments, must be personally served upon the respondent.

- 6.3 Upon receipt of the written explanation/answer of the respondent, or if the respondent failed to file his/her written explanation/answer, the immediate superior shall endorse the records relative to the complaint to the Vice President for Administration. If no written explanation/answer is filed by the respondent, the Vice President for Administration shall prepare and personally serve to the respondent a written directive to file his/her written explanation/answer within the period of 24 hours from receipt thereof.
- 6.4 The Vice President for Administration shall elevate the case to the Advisory Board who decides if there is a need to form the Committee on Investigation within 24 hours from the receipt of the responsive pleading or expiration of the period as above indicated. The Vice President for Administration will recommend the composition of the Committee on Investigation for appointment by the University President.
- 6.5 Within three days from receipt of the directive from the University President to conduct fact-finding investigation, the Committee on Investigation shall schedule an initial conference with the complainant/s and the respondent/s to apprise them of the basic procedural rules for the conduct of the investigation.

On the same occasion, the Committee shall inform in writing the complainant and the respondent of the time, date and venue of the formal investigation. The interval between the initial conference and the formal investigation should not be less than

nor exceed five days to enable the complainant and respondent to prepare.

- 6.6 During the formal investigation of the Committee on Investigation, the following procedural rules shall be observed:
- a. The possibility of amicable settlement, mediation, conciliation or submission to alternative modes of dispute resolution is explored.
 - b. The factual issues to be resolved by the Committee shall only be limited to those which were alleged in the Complaint. For this reason, the complainant cannot present evidence on issues that are not tackled in the Complaint. In the same manner, the respondent can present evidence to support the allegations in the Answer but not on matters which are not mentioned therein. The Committee may stop the presentation of evidence which were not tackled in the Complaint and in the Answer. For this purpose, either party has the right to demand for a copy of the Complaint and/or Answer;
 - c. The complainant has the burden of proving the veracity of his/her allegations. His/Her failure to establish the liability or culpability of the respondent, through substantial evidence, will result to the dismissal of the case. On the other hand, the respondent has the right to rebut the allegations of the complainant by presenting his/her own evidence;
 - d. Since the proceedings being undertaken is administrative in nature, no direct confrontation or cross-examination of witnesses will be allowed. The parties, however, may be allowed to submit suggested written clarificatory questions that the Committee may propound to the party/witnesses;
 - e. The failure or refusal of either or both parties to appear before the Committee to present their respective

- evidence constitutes a waiver, unless there is justifiable cause in writing;
- f. The parties should refrain from communicating with any of the witnesses before, during and immediately after they have deposed their testimony before the Committee. The parties and the witnesses are bound to keep the confidentiality of the proceedings;
 - g. It is the duty of the parties to submit the list of witnesses to the Committee. Thereafter, it becomes the duty of the Committee to notify the witnesses on the date of the reception/deposition of their statement. However, because it is important that every effort be made to keep the incident confidential, the Committee shall exercise its sound discretion in determining which witnesses are indeed necessary to the investigation;
 - h. The Committee, on its own, may call on other resource persons for additional information or verify information from files available in different offices of the University;
 - i. The parties shall bind themselves to respect the decision/s of the Committee pertaining to the conduct of the investigation. Any objection on the manner by which the Committee is handling the investigation must be reduced into writing and submitted to the Office of the University President for its consideration;
 - j. The parties understand that members of the Committee are bound by the rules on confidentiality and are expected to be impartial. The parties, therefore, should refrain from communicating with any of its members on matters related to the case during the pendency of the investigation; and
 - k. At any stage of the proceedings, the respondent may seek the assistance or advise of a counsel. His/Her counsel, however, is not allowed to directly participate in the proceedings.

- 6.7 The Committee on Investigation shall complete the investigation within five days.
- 6.8 Within 20 days from the termination of the investigation, the Committee shall render its written recommendation to be submitted to the Committee on Arbitration.
- 6.9 Based on the attached findings of the Committee on Investigation, the Committee on Arbitration deliberates and decides on the final action to be relayed to the complainant and respondent/s. If warranted by the circumstances, the Committee on Arbitration may conduct further hearing.
- 6.10 The decision of the Committee on Arbitration, whether for or against the respondent is final and executory unless appealed by either party to the Office of the University President within five (5) days from receipt thereof.
- 6.11 Upon appeal, the University President shall issue an order confirming, amending or reversing the decision within 48 hours from receipt of the appeal. The order of the University President is final and executory.
- 6.12 The University President directs the Legal Counsel to prepare the notice of sanction or acquittal to be personally served by the Director of HRDO to the respondent/s. The notice must be acknowledged by the parties. The date of receipt shall be indicated in the notice.
- 6.13 In the event that the respondent is absent or refuses to accept the notice, the same shall be sent to his/her last known address by registered mail with return card. The registry return card of the post office where it was mailed and the return card must be secured by the HRDO Director and made available for evidentiary purposes.

6.14 The HRDO shall submit the required report/notices to the Department of Labor and Employment (DOLE).

Section 7. Preventive Suspension. If the Investigation Committee finds a strong probability that the respondent might exert undue influence or pressure upon the complainant and/or the witnesses, or tamper on documents or evidence which are accessible to him through his office, it shall recommend to the University President that the respondent be placed under preventive suspension. If the respondent is placed under preventive suspension, it shall be for a period not exceeding 30 days.

During the period of preventive suspension, the salary and other benefits of the respondent-personnel shall be withheld and he shall be barred from performing his duties and responsibilities. The period of preventive suspension may be extended beyond 30 days but in which case, the respondent shall be paid his salary and other benefits. If the respondent is a student, he shall be barred from entering the campus during the period of preventive suspension.

If, after investigation, it is established that the respondent-personnel is not guilty of the charge/s, he shall forthwith be paid his salaries and other benefits withheld during the time he was placed under preventive suspension. He shall also be allowed to perform his duties and responsibilities. In the case of students, if he is absolved of the charge/s, he shall be allowed admittance in the University campus, and shall be given sufficient opportunity to make up for quizzes, tests and other requirements missed during his preventive suspension.

Section 8. Criminal/Civil Prosecution. The meting out of corrective action to the respondent does not bar the University from filing the corresponding criminal and/or civil action/s in the proper court/s, if warranted under the circumstances.

Section 9. Repealing Clause. This Code supersedes all policies, circulars and memoranda earlier issued and which are inconsistent with the above provisions. In the event that a provision/s of this Code is/are amended or revised by subsequent policies, circulars or memoranda, or repealed by provisions of law, the remaining provisions shall not be affected and remain valid and enforceable.

Section 10. Reservation Clause. The University, in the exercise of its sole and exclusive prerogative, reserves the right to amend, revise or all together set aside this Code. Subsequent amendments or revision, however, shall not take effect until after reasonable dissemination to all affected and concerned sectors is undertaken.

Section 11. Effectivity Clause. This Code shall take effect on the first day of June 2023. To ensure its maximum dissemination to the University community, a copy of this Code must be posted in the different bulletin boards in the University and annexed in the Manuals for Academic and Non-Academic Personnel.

G. COMMITTEE ON ARBITRATION (COA)

Composition:

The Committee is composed of the four Vice Presidents and Legal Counsel and chaired by the Vice President for Administration

Functions:

1. To deliberate on the findings and recommendations of the committee on investigation and decide administrative cases involving suspension and dismissal of personnel for any of the grounds enumerated under existing laws, and rules and regulations promulgated by government regulatory agencies and by the University.
2. The Committee is also tasked to resolve grievances not covered by the Code of Proper Conduct for SMU Employees, the SMU Anti-Sexual Harassment Implementing Guidelines, and the Collective Bargaining Agreement.

H. COMMITTEE ON INVESTIGATION (COI)

Composition:

The Vice President for Administration recommends the composition of the committee of three members from any academic and/or non-academic personnel of the University for approval by the University President.

Functions:

1. Its task is to assist any University officer who requests for the conduct of a fact-finding investigation for alleged violation of the Code of Proper Conduct for SMU Employees, other University rules and regulations, MORPHE, MRPSBE and Labor Code of the Philippines.