

DEPARTMENT	OEC-HRD-ID-P-01	ISSUE DATE	REVISION #
HRD		2016-09-20	0.0
	GUIDELINES ON INFORMATION SECURITY DISCIPLINARY PROCESS		PAGES 1 of 3

Introduction

It is acknowledged by the organization that discipline is a necessary way of ensuring Information Security incidents are dealt with/in a fair and effective way wherever extreme carelessness or apparent misconduct is involved.

PURPOSE

This policy to ensure that any disciplinary matter is dealt with fairly and those steps are taken to establish the facts and to give employees the opportunity to respond before taking any formal action against the employee pertaining to information security.

SCOPE

The procedure applies to all employees regardless of length of service. This procedure is used to deal with misconduct pertaining to Information Security.

REFERENCE

HR-Human Resources
HOD-Head of Department
IT-Information Technology

RESPONSIBILITY

Reporting Manager
Head of Department
Human Resources
ISMS/Concern Manager
Information Technology

Rules & Guidelines

Investigation

Where a matter arises which is suspected or believed to contravene Information Security Policy and which may be a disciplinary matter, ISMS core team is to investigate the matter promptly. When the investigation is concluded, the employee will be informed.

Employee Interview

It is necessary that the employee is interviewed as part of the investigation.

DEPARTMENT	OEC-HRD-ID-P-01	ISSUE DATE	REVISION #
HRD		2016-09-20	0.0
	GUIDELINES ON INFORMATION SECURITY DISCIPLINARY PROCESS		PAGES
			2 of 3

Verbal Warnings

After completing the investigation, if the management has reasonable grounds for believing that a verbal warning would be sufficient, it may be administered without proceeding further. The verbal warning will be recorded in the employee's personnel record.

Disciplinary Hearing

If after the investigation, the management considers that a complaint of misconduct is justified, a disciplinary hearing will be arranged. The employee will be given a maximum of five working days' notice of the hearing date. The management of the organization or ISMS core team will normally conduct the hearing. The employee will be allowed to present any information in the employee's defence and may be questioned by the management.

Disciplinary Action

The following disciplinary action may be considered:

- For a minor offence or offences, a formal verbal warning.
- For a more serious offence, a written warning.
- For a serious offence, but where the management decides that a lesser penalty is appropriate, a final written warning.
- For any further acts of misconduct by an employee under a final warning, the employee will be liable to dismissal with pay in lieu of notice.
- In cases where gross misconduct or negligence is established, the employee will be liable to summary dismissal.

Suspension of Employees

If the matter being investigated is believed to involve serious misconduct, the employee may be immediately suspended from work. Any decision to suspend the employee is to be confirmed in writing as soon as possible.

Effective Date:

This policy will be effective from 1st September 2016.

Violation:

DEPARTMENT	OEC-HRD-ID-P-01	ISSUE DATE	REVISION #
HRD		2016-09-20	0.0
	GUIDELINES ON INFORMATION SECURITY DISCIPLINARY PROCESS		PAGES
			3 of 3

The company expects total compliance of this policy. Violation, if any, will be viewed seriously and may invite appropriate action.

Policy Owner:

HR would be responsible for maintaining and carrying out subsequent modifications.

Revision of Policy:

Management reserves the right to revise this policy at any time and in any manner without notice. Any change or revision will be available with the Management and will be communicated appropriately.

ENCLOSURES

NA

FORMATS / EXHIBITS

NA