

Approval Date: November 2, 2007

Most Recent Editorial Date: September 10, 2014

## Ethical Conduct and Safe Disclosure Policy

<b>Office of Accountability:</b>	President
<b>Office of Administrative Responsibility:</b>	Associate Vice-President (Human Resources)
<b>Approver:</b>	Board of Governors
<b>Scope:</b>	Compliance with University policy extends to all members of the University community.

### Overview

The highest standards of ethical conduct are essential to the success of any great institution. Academic freedom, open inquiry and the pursuit of truth, which form the foundation of an institution of higher learning, depend on a shared commitment to the highest standards of ethical conduct.

Whether involved in research, teaching or the governance and administration of the organization, all **representatives of the University of Alberta** have an obligation to conduct themselves in a manner that is consistent with the University's stated values regarding ethical conduct.

As part of this obligation, and to protect the University and individuals from harm, representatives of the University are encouraged to report conduct that does not meet the University's ethical standards.

### Purpose

The purpose of this policy is to:

- Describe the expectations concerning ethical conduct for representatives of the University
- Confirm the rights of individuals in reporting conduct that does not meet the University's ethical standards
- Confirm the University's obligation to protect person(s) making a **good faith disclosure** from **reprisal**
- Confirm the University's obligation to protect the rights of the person(s) against whom allegations are made

## POLICY

### 1. STANDARDS OF ETHICAL CONDUCT

All representatives of the University of Alberta shall maintain the highest standards of ethical conduct, in which their actions and behaviours uphold the principles of integrity, respect and accountability, supported by awareness of and compliance with relevant University policies and procedures, collective agreements, government legislation and relevant professional standards.

### 2. FAILURE TO COMPLY

Failure to comply with this policy may result in disciplinary action, up to and including termination of employment and prosecution if appropriate.

### 3. REPORTING

Representatives of the University are encouraged to report conduct that does not meet the University's ethical standards. Such reports must meet the definition of good faith disclosure and be submitted to the appropriate authority. See the associated information [document](#) for guidance on determining the appropriate authority for different issues.

The University will maintain an environment of **safe disclosure** when such a report is made, in which:

- a. The persons and offices that receive and/or investigate such reports shall protect the identity of the person making the report to the extent possible under government legislation, University policies, and collective agreements in effect at the time of the alleged misconduct.
- b. The University will not tolerate any reprisal, directly or indirectly, against anyone who, in good faith, makes a report.
- c. All individuals against whom allegations are made will maintain the rights, privileges and protections afforded to them through the *Freedom of Information and Protection of Privacy (FOIPP) Act* and other applicable government legislation, University policies, and collective agreements in effect at the time of the alleged misconduct.

### 4. RELATED POLICIES

- a. Policies and other documents that touch on ethical behaviour are available through the links at the bottom of this page.
- b. The absence of a specific policy covering a particular situation does not relieve an individual of the responsibility to apply the highest ethical standards in that situation.
- c. In the event there is no policy that addresses an ethical question that arises during the execution of their responsibilities, individuals may seek clarification or guidance from the Provost and Vice-President (Academic).

## **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. <a href="#">▲Top</a>	
<b>Representatives of the University of Alberta</b>	Executive officers, faculty, staff, post-doctoral fellows, professors emeriti, visiting academics, student employees, volunteers, contractors when specified in the terms of the contract, members of the Board of Governors, Senate, Alumni Council and others, when acting on behalf of the University of Alberta.
<b>Good faith disclosure</b>	A submission of information, that is based on reasonable belief and is not malicious, frivolous or vexatious, to the appropriate University authority.
<b>Reprisal</b>	Punitive actions taken against a person for making a good faith disclosure, including, but not limited to: <ul style="list-style-type: none"> <li>- Disciplinary action</li> <li>- Termination</li> <li>- Adversely affecting employment conditions</li> <li>- A threat to do any of the above</li> </ul>
<b>Safe disclosure</b>	Individuals are not subject to reprisal for reporting allegations made in good faith.

**RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲Top](#)]

[Administrative Information Systems Security Policy](#) (UAPPOL)

[Animal Ethics Policy](#) (UAPPOL)

[Protective Services](#) (University of Alberta)

[Collective Agreements of the University of Alberta](#) (University of Alberta)

[Conflict Policy - Conflict of Interest & Commitment, and Institutional Conflict](#) (UAPPOL)

[Contract Review and Signing Authority Policy](#) (UAPPOL)

[Discrimination, Harassment and Duty to Accommodate Policy](#) (UAPPOL)

[Health, Safety and Environment](#) (University of Alberta)

[Financial Management and Practices Policy](#) (UAPPOL)

[Fraud and Irregularity Policy](#) (UAPPOL)

[Health, Safety, and Environment Policy](#) (UAPPOL)

[Human Research Ethics Policy](#) (UAPPOL)

[Information Access and Protection of Privacy Policy](#) (UAPPOL)

[Information and Privacy Office](#) (University of Alberta)

[Internal Audit Services](#) (University of Alberta)

[Office of General Counsel](#) (University of Alberta)

[Office of Safe Disclosure & Human Rights](#) (University of Alberta)

[Research and Scholarship Integrity Policy](#) (UAPPOL)

[Statement of Ethical Conduct](#) (University of Alberta)

[Student Concerns and Complaints Policy – Records and Privacy](#) (UAPPOL)

[The Criminal Code of Canada](#) (Department of Justice)

**PUBLISHED PROCEDURES OF THIS POLICY**

[Ethical Conduct and Safe Disclosure Procedure](#)

[Ethical Conduct and Safe Disclosure Procedure – Disclosures under the Public Interest Disclosure Act](#)