

Original Approval Date: September 10, 2014

Parent Policy: [Ethical Conduct and Safe Disclosure Policy](#)

Ethical Conduct and Safe Disclosure Procedure

Office of Administrative Responsibility:	Office of Vice-President (Finance & Administration)
Approver:	Vice-President (Finance & Administration)
Scope:	Compliance with this University procedure extends to all members of the University community.

Overview

As noted in the Ethical Conduct and Safe Disclosure policy, representatives of the University are encouraged to report conduct that does not meet the University's ethical standards.

Purpose

- To outline the procedures individuals should take when reporting conduct that does not meet the University's ethical standards
- To outline University's obligations to protect person(s) making a **good faith** disclosure from reprisal
- To outline the University's obligation to protect the rights of the person(s) against whom allegations are made (respondents)

PROCEDURE

A. DISCLOSURE OF MISCONDUCT

University process indicates that allegations or concerns of conduct that does not meet the University's ethical standards are primarily addressed utilizing the procedures associated with relevant University policies and procedures, collective agreements, government legislation and relevant professional standards.

Complainants should generally contact their manager or supervisor to disclose matters of alleged misconduct. Alternately, complainants may also contact the **Office of Administrative Responsibility** associated with the policy and/or procedure to (e.g. Research Integrity complaints should follow the Research and Scholarship Integrity Enforcement Procedure).

In instances where it is unknown where to disclose the matter, or the complainant has reasonable apprehension about coming forward, reports can be made to the Office of Safe Disclosure and Human Rights (OSDHR).

Initial disclosures to the OSDHR may be made verbally or in writing. OSDHR may request that disclosures be made in writing dependent on the nature of the concern and the requirements of the underlying policies. Be advised that disclosures made to OSDHR do not necessarily constitute institutional knowledge as this office's main goal is to provide advisory and referral services to the appropriate mechanism (e.g. referral to Internal Audit Services regarding financial concerns or outlining process expectation for concerns regarding discrimination or harassment is outlined in agreements and in the *Discrimination, Harassment and Duty to Accommodate Policy*).

Typically, in order for matters to be formally addressed, they will need to be reported to a representative of the university outside the Office of Safe Disclosure and Human Rights.

Specific requirements for disclosing are outlined in the policy or procedure that governs the matter in question. In general, disclosures should comprise of:

- The date and time of the incident(s);
- Identification of individuals responsible for the misconduct;
- Details of the alleged misconduct; and
- Name and contact information of the individual making the disclosure. Anonymous reporting may be permitted if it is permitted in the underlying processes (e.g. anonymous reporting is considered for fraud and irregularity but not for harassment).

B. GOOD FAITH DISCLOSURES AND REPRISAL

Any person making a good faith disclosure shall not be subject to **reprisal**.

Any person who believes they are subject to reprisal should contact the OSDHR.

C. DUTY TO RESPONDENTS

Those persons against whom allegations are made (**respondents**) must be treated in a fair and reasonable manner. Specifically, should formal complaints be made, respondents are entitled to:

- Be informed as to who has made the allegation against them, except for matters where the relevant policy and procedure specifically allow for anonymous or confidential complaints or the safety of the complainant may be in question;
- Only respond to allegations that have been made in a timely manner (as outlined in relevant policy if applicable);
- Be privy to enough details pertaining to the allegation to respond accurately; and/or
- Have the matter resolved in an expedient manner.

Respondents who feel that this duty is not being met, should contact the Office of Safe Disclosure and Human Rights.

DEFINITIONS

Definitions should be listed in the sequence they occur in the document (i.e. not alphabetical).

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲ Top](#)

Good Faith	A submission of information, that is based on reasonable belief and is not malicious, frivolous or vexatious, to the appropriate university authority.
Office of Administrative Responsibility	The area within university administration, as indicated in UAPPOL policy, that is ultimately responsible for administering a particular policy and/or procedure.
Reprisal	Punitive actions taken against a person for making a good faith disclosure, including, but not limited to: <ul style="list-style-type: none"> • Disciplinary action; • Termination; • Adversely affecting employment conditions; and/or • A threat to do any of the above.

Respondent(s)

A party against whom an allegation has been made.

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