

Policy Number:	1514
Policy Title:	Safe Disclosure Policy
Approved by:	President
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1. Policy Statement

- 1.1. University Canada West (the “**University**”) is committed to high standards of integrity and ethical behaviour across the University, and will foster and maintain an environment where employees can work safely and without fear of retaliation.
- 1.2. The University is committed to conducting its business in an open, transparent, and ethical manner. This is accomplished by creating and maintaining a workplace that is built on trust, honesty, and integrity in all our business practices.
- 1.3. Employees representing the University, regardless of their workplace, and whether at the office, at home, travelling, or during University events, are responsible for conducting themselves with high ethical standards.
- 1.4. The University expects employees to voice their concerns or report suspected or actual Wrongdoing occurring within the organization. Employees acting in good faith and making reports on reasonable grounds will not be subject to retaliation or adverse consequences.

2. Purpose

- 2.1. The purpose of this Policy and related Procedure is to:
 - a. describe the expectations concerning ethical conduct for Employees, Contractors, and all other representatives of the University;
 - b. provide a means for Employees and Contractors to raise concerns about potential or suspected Wrongdoing which would not otherwise come to light; and
 - c. confirm the University’s obligation to protect person(s) making a good faith disclosure from reprisal, and the rights of the person(s) against whom allegations are made.

3. Scope

- 3.1. This Policy applies to all Employees, members of the University Community, and Contractors.

3.2. This Policy is subject to any laws, regulations, or other policies and procedures applicable to the University.

4. Definitions

4.1. These definitions apply to terms as they are used in this Policy:

Word/Expression	Definition
Contractor	means a person who provides contracted services to the the University.
Employee	includes directors, officers, employees, faculty (including full-time, part-time, adjunct, visiting, honorary, and emeritus faculty), researchers, student employees, interns, and volunteers of the University.
False or Reckless Allegation	An allegation that is made knowing it is not true or reckless as to its truth, or an allegation that is made in bad faith.
Protected Disclosure	Communication about actual or suspected Wrongdoing that is made in good faith and based on reasonable grounds that the activity has occurred and amounts to Wrongdoing. A Protected Disclosure may not be malicious, frivolous or vexatious.
Reprisal	Punitive actions taken against a person for making a Protected Disclosure, including, but not limited to: <ol style="list-style-type: none"> a. disciplinary action; b. suspension or termination of employment; c. intimidation or coercion; d. adversely affecting employment conditions; or e. a threat to do any of the above.
University Community	means all Employees and students of the University, and all people who have status at the University, including members of the Board and Academic Council, visiting and emeritus faculty, visiting researchers, and volunteers.
University Resources	include the human resources (<i>e.g.</i> , working hours and time of employees, faculty, and students), physical resources (<i>e.g.</i> , equipment, offices, facilities), and information resources (<i>e.g.</i> , data, intellectual property) of the University.
Wrongdoing	Means any activity, conduct, or practice that is undertaken by the University, an Employee, or a Contractor that: <ol style="list-style-type: none"> a. violates federal, provincial, or municipal legislation; b. is a serious violation of University policy; c. is fraudulent, unethical, or dishonest; d. involves gross misconduct or incompetence; or e. presents a danger to the health, safety or wellbeing of Employees, members of the University Community, or third parties.

5. Ethical Conduct

- 5.1. All representatives of the University must maintain the highest standards of ethical conduct, meaning that their actions and behaviours uphold the principles of integrity, respect and accountability and are supported by awareness of and compliance with relevant University policies and procedures, legislation, and relevant professional standards.
- 5.2. 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. In the event that there is no University policy that addresses a particular ethical question that arises during the execution of their responsibilities, Employees and Contractors may seek clarification or guidance from the Executive Director, People & Culture (Human Resources) and Vice-President (Academic).

6. Wrongdoing

- 6.1. Unethical and/or illegal conduct or practices that will constitute Wrongdoing includes, but is not limited to:
 - a. misappropriation of funds, securities, or other assets of the University;
 - b. misuse, misappropriation, or theft of University Resources;
 - c. forgery or otherwise altering University documentation, including:
 - i. forgery or alteration of cheques, drafts, promissory notes and securities; and
 - ii. the alteration, destruction, forgery or manipulation of data for fraudulent purposes;
 - d. serious irregularity in the handling or reporting of financial transactions, including fraudulent financial reporting and questionable accounting practices;
 - e. engaging in a conflict of interest without having disclosed the conflict in accordance with University policies, including seeking or accepting anything of significant value from vendors, consultants or contractors doing business with the University in violation of the Conflict of Interest Policy.;
 - f. authorizing or receiving compensation for goods not received, services not performed, or time not worked, including accepting a bribe or any claim for reimbursement of expenses that are not incurred for the exclusive benefit of the University;
 - g. behaviour that endangers the health and safety of employees, students or the University community;
 - h. criminal or illegal activity; and

- i. deliberately attempting to conceal any of the above.
- 6.2. In general, this Policy is not intended to be the method for reporting violations of the University's applicable human resources policies, problems with colleagues, coworkers, or supervisors, or for reporting issues related to alleged employment discrimination or sexual or any other form of unlawful harassment, all of which should be reported and managed in accordance with the University Standard of Conduct and other policies.

7. Safe Disclosure

- 7.1. Employees, Contractors, and members of the University Community are encouraged to report Wrongdoing or conduct that does not meet the University's ethical standards to the appropriate authority.
- 7.2. A report of actual or suspected Wrongdoing will be a Protected Disclosures where it is made in good faith and on reasonable grounds by the Employee, Contractor, or member of the University Community.
- 7.3. The University will maintain an environment of safe disclosure when a Protected Disclosure is made, including:
- a. the persons and offices that receive and investigate Protected Disclosures must protect the identity of the person making the Protected Disclosure to the extent possible;
 - b. the University will not tolerate any direct or indirect Reprisal against anyone who, in good faith, makes a report; and
 - c. individuals against whom allegations are made under this Policy will maintain the rights, privileges and protections afforded to applicable legislation, University policies, and agreements in effect at the time of the alleged misconduct.
- 7.4. Supervisors, managers, and other persons acting on behalf of the University must not engage in any Reprisal, including but not limited to:
- a. discipline or dismiss an Employee or Contractor (or threaten to do so);
 - b. impose any kind of penalty or sanction on an Employee or Contractor (or threaten to do so); or
 - c. Intimidate or coerce an Employee or Contractor to act or to refrain from acting,

because that person, acting *bona fide*, has reported Wrongdoing pursuant to this Policy, has sought the enforcement of this Policy, or has been a witness in any hearing flowing from this Policy.

- 7.5. Employees who are found to have made a False Allegation will be subject to disciplinary action, up to and including termination, and such individuals may thereby expose themselves to legal claims by the individuals they have accused.
- 7.6. A student who is found to have made a False Allegation will be subject to disciplinary action, up to and including suspension.
- 7.7. Individuals who are found to have engaged in a Reprisal against a person making a Protected Disclosure will be subject to disciplinary action, up to and including termination.

8. Investigation

- 8.1. The Office of the Chief Compliance Officer of GUS Canada (or designate) must investigate allegations of Wrongdoing and ensure that any investigation is coordinated within the University, particularly where an investigation under this Policy is being conducted in addition to any investigation or review by an academic or administrative unit of the University with respect to the same or related circumstances of Wrongdoing.
- 8.2. All members of the University Community are required to cooperate with any investigation mandated under this Policy, including disclosing any credible evidence of any Wrongdoing.
- 8.3. The Office of the Chief Compliance Officer of GUS Canada will report to any other appropriate member of the senior administration at the University:
 - a. the status and results of any investigations and allegations made under this Policy; and
 - b. any significant issues related to the adequacy and effectiveness of the University's processes for controlling its activities and managing its risks that have come to light under this Policy.

9. Confidentiality

- 9.1. The Office of the Chief Compliance Officer of GUS Canada will control access to all communications, reports, and working papers related to Protected Disclosures and investigations. The Office of the Chief Compliance Officer of GUS Canada will consult with appropriate senior management of the University prior to releasing any of these records to external parties.
- 9.2. Where appropriate, the University will make reasonable efforts to keep Protected Disclosures confidential. However, individuals who are accused of Wrongdoing will, in most cases, be entitled to know the name of the person(s) who has made a Protected Disclosure.

10. Responsibility

- 10.1. It is the responsibility of the Employees and Contractors to ensure that concerns about potential or suspected Wrongdoing are reported internally prior to raising the matter outside of the University, including to members of the public, the media, or regulatory bodies.
- 10.2. It is the responsibility of the University and the Office of the Chief Compliance Officer of GUS Canada or designate to investigate and address matters reported under this Policy.
- 10.3. The Executive Director, People & Culture (Human Resources) has responsibility for the decisions related to this Policy.

11. Distribution

- 11.1. The University will inform and provide a copy of this Policy to all directors, officers, employees, faculty, student workers, interns and volunteers and all other persons or Contractors who provide substantial service to the University.

12. Amendments

- 12.1. The University reserves the right to amend or update this Policy from time to time at its sole discretion.

13. Related policies

Policy Number	Policy Title
8002	Conflict Resolution Policy
8002p	Conflict Resolution Procedure
8003	Standard of Conduct Policy
8003p	Standard of Conduct Procedure
8008	Acceptable Use of Information Technology Resources Policy
8008p	Acceptable Use of Information Technology Resources Procedure
8009	Sexual Violence and Misconduct Policy
8009p	Sexual Violence and Misconduct Procedure
2001	Conflict of Interest and Conflict of Commitment Policy
2001p	Conflict of Interest and Conflict of Commitment Procedure

14. Associated procedure

Procedure Number	Procedure Title
TBD	Safe Disclosure Procedure