



**GENERAL FACULTIES COUNCIL
AGENDA**

Meeting #588, February 14, 2019, 1:30-4:30 p.m.

ST 147

Item	Description	Presenter	Materials	Estimated Time
1.	Conflict of Interest Declaration	McCauley	Verbal	1:30
2.	Remarks of the Chair	McCauley	Verbal	1:35
3.	Remarks of the Vice-Chair	Marshall	Verbal	1:45
4.	Question Period	McCauley	Verbal	1:55
5.	Safety Moment	Dalgetty ¹	Document	2:00
	Action Items			
6.	Approval of the January 17, 2019 Meeting Minutes	McCauley	Document	2:02
7a.	Election of Two Academic Staff Members to the Advisory Review Committee for the Dean of Science	McCauley/Belcher	Document	2:05
7b.	Election of Three Academic Staff Members to an Advisory Selection Committee for a Vice-President (Research)			
8.	Establishment of the 2019-2020 GFC Elected Membership Distribution	McCauley/Belcher	Document	2:10
9.	Approval of Revisions to the Graduate Student Supervision Policy and Procedure	Yates ² /Book ³	Document	2:15
	Information Items			
10.	Code of Conduct	Jackson ⁴	Document	2:30

Item	Description	Presenter	Materials	Estimated Time
11.	Standing Reports: a) Report on the January 29, 2018 GFC Executive Committee Meeting b) Report on the January 14 and February 4, 2019 Academic Planning and Priorities Committee Meetings c) Report on the January 22, 2019 Research and Scholarship Committee Meeting d) Report on the January 24, 2019 Teaching and Learning Committee Meeting e) Report on the February 7, 2019 Senate Meeting f) Policy Development Update	McCauley	Documents	2:45
12.	Approved 2019-2020 and 2020-2021 GFC and GFC Standing Committees Meeting Schedules	McCauley/Belcher	In package only	2:55
13.	Other Business	McCauley		2:55
14.	Adjournment Next meeting: March 14, 2019	McCauley	Verbal	2:55

Regrets and Questions: Elizabeth Sjogren, Governance Coordinator
 Telephone: 220-6062 or email: esjogren@ucalgary.ca
 Susan Belcher, University Secretary
 Telephone: 220-6138 or email: sbelcher@ucalgary.ca

GFC Information: <https://www.ucalgary.ca/secretariat/general-faculties-council>

Presenters

1. Linda Dalgetty, Vice-President (Finance and Services)
2. Robin Yates, Interim Vice-Provost and Dean, Graduate Studies
3. Deborah Book, Legal Counsel
4. Karen Jackson, General Counsel

GFC – Safety Moment - The Importance of Doing Something

February 2019

In looking at the university's lost time incidents over the past year, we have had several related to slips and trips, but not all were related to ice and snow.

We can prevent these injuries by recognizing a slip, trip hazard, and taking action instead of just walking by the hazard.

Some examples:

An employee fell down the stairs leading to the Engineering B Block entrance. The stair was damaged.

In the Animal Resource Centre, the door of the rack washer had a non-slip floor surface because the floor is often wet in that area. The non-slip surface had worn down and lost its effectiveness. Last fall a worker slipped on it and suffered a head injury.

We've had four serious incidents this winter caused by people falling outside on snow and ice covered surfaces.

You can be part of the solution. When you see a hazard, don't just walk by. Report the hazard.

There are a number of ways to report hazards including:

- To your Reports-To Manager
- To Facilities Management for building related issues at 220-7555
- To EHS for health and safety related issues at 220-6345
- To Campus Security for security related issues at 220-5333

For all serious, life-threatening situations or a crime in progress, call 9-1-1.

You get the level of safety performance you're prepared to walk by.

The draft Minutes are intentionally removed from this package.

Please see the approved Minutes [uploaded separately on this website](#).



GENERAL FACULTIES COUNCIL
Biographies of Candidates for Election

The following are the biographies of the candidates who were nominated by the GFC Executive Committee and have agreed to stand for election:

7a. Election of Two Academic Staff Members to the Advisory Review Committee for the Dean of the Faculty of Science

Raylene Reimer-De Bruyn, Faculty of Kinesiology

Professor and Associate Dean Research

Recipient: CIHR, NSERC, CFI, URGC grants and multiple industry contracts.

Recipient: Centrum Foundation New Scientist Award for Outstanding Research in Nutrition by the Canadian Nutrition Society; GREAT Supervisor Award Faculty of Graduate Studies.

Current Service: Associate Dean Research; GFC Research and Scholarship Committee; Biosafety Committee; Research Awards Working Committee; Killam Postdoctoral Fellowship Committee; RMS Steering Committee.

Past service: Decanal Review Committee Cumming School of Medicine; General Promotions Committee Appeals Sub-Committee; Brenda Strafford Foundation Chair in Geriatrics Advisory Committee; Postdoctoral Advisory Committee; Multiple search and selection committees.

Raafat El-Hacha, Schulich School of Engineering

Professor

Grants Recipient: NSERC EG & Connect (3 times); NSERC CRD (twice); NSERC DG (3 times); Mitacs (3 times); CFI; AIF; URGC (8 times); City of Calgary.

Awards Recipient: Teaching Achievement Award, Kay Pringle Memorial Award, Killam Annual Professorship Award, Outstanding Teaching Performance (twice), CSCE Casimir Gzowski Gold Medal, Erasmus Mundus International Fellowship (twice), Teaching Excellence Award (3 times), SSE Service Excellence Award, CSCE Excellence in Innovation in Civil Engineering Award, Professor Excellence Award for Civil Engineering, SSE Early Research Excellence Award.

Past Service:

University: FGS Scholarship Committee, United Way Campaign Cabinet, URGC.

SSE: Vice Dean Committee, PURE Coordinator, FTPC (3 times), Technical Staff Team Engagement & Enablement Task Force (co-chair), United Way Committee (co-chair), Advisory Selection Committee for Director CBRE, Engineering Undergraduate Studies Committee, Academic Appeals Committee, Undergraduate Scholarships Committee, Mind-In-Motion, Engineering Safety Improvement Committee, RSL, High School Liaison Committee.

Civil Engineering: Representative GFC; Assistant Professor Project Management Committee, Adjunct Professors Appointment Committee (Chair), CRC-II Construction Management Committee, Graduate Student Affairs Committee, Technician Selection Committee, Structures Instructor Selection Committee, Technical Manager Selection Committee.

Current Service:

University: TUCFA, URGC (Chair), URGC-SEM (Chair), MGEAR Committee, Campus and Facilities Development Subcommittee.

SSE: SSE-EVDS Building Engineering Program Task Force (Chair), Master of Engineering Committee, Academic Appeals Committee.

Dawn Kingston, Faculty of Nursing

Associate Professor

Recipient: CIHR New Investigator Award, ACCFCR Early Career Award

Recipient: Peak Scholar Award; Faculty of Nursing Pursuit of Excellence Above and Beyond Award; Canadian Association of Nursing Research New Investigator Award; Nominee Nursing Graduate Student Association Teaching Award

Inaugural Holder: Lois Hole Hospital for Women Cross-Provincial Chair in Perinatal Mental Health

Past Service: Owerko Director Selection Committee member; Provost Appointee Cumming School of Medicine Tenure and Promotion Committee; member Mental Health Strategy Task Group; Faculty of Nursing Tenure and Promotion Committee member

Current Service: GFC Research and Scholarship Committee; Developer and facilitator of Leading for Impact, a leadership development program for university-wide post-doctoral fellows

Jennifer Lock, Werklund School of Education

Jennifer Lock is the Associate Dean of Teaching and Learning. She was the specialization chair for WSE Learning Sciences. Her specialization area are online learning, ICT integration, change and innovation, educational development in higher education, and experiential learning in makerspaces.

Recipient: UofC Teaching Award for Educational Leadership (Formal); U Make a Difference Award; GSA Excellence in Supervision Award; & GREAT Supervisor Award.

Past Service: Academic Performance and Development (ADP) Evaluation Committee; External member on search committees; member of VPR SUPPORT Subcommittee - Chairs and Professorships.

Current Service: Academic Program Subcommittee - GFC Standing Committee; GFC Teaching and Learning Committee.

7b. Election of Three Academic Staff Members to an Advisory Selection Committee for a Vice-President (Research)

Susan Graham, Faculty of Arts

Recipient: Canada Research Chair Tier 2, NSERC, SSHRC, CFI grants, Killam Research Excellence Award, Killam Annual Professor

Recipient: Killam Mentorship Award, Graduate Teaching Awards

Past Service (Selected): Department Graduate Program Coordinator, Member, Dean of Law and Dean of FGS search and selection committees; Member, Salary Anomalies Committee; Member, General Promotions Committee

Current Service (Selected): Member, Mental Health Strategy working group; Chair, SUPPORT: Chairs and Professorships; Director, Owerko Centre for Neurodevelopment and Child Mental Health; Member, HBI Strategic Research and Innovation committee; Member, Graduate Scholarship committee

Jocelyn Hayley, Schulich School of Engineering

Professor, Civil Engineering, Schulich School of Engineering

Current: Head, Department of Civil Engineering, 2018 - present

Past Admin: Senior Associate Dean (Research), Schulich School of Engineering, 2015-2018

Past Admin: Associate Head (Graduate Studies), Civil Engineering, 2013-2015

Fellow: Engineering Institute of Canada, 2017

Recipient: APEGA, Women in Engineering and Geoscience Champion Award, 2017

Service: 22 academic selection committees, including 1 Dean, 2 Department Heads, 3 Chairs, and 6 CFREF assistant professors

Benedikt Hallgrímsson, Cumming School of Medicine

bio coming

Yrjö Koskinen, Haskayne School of Business

Associate Professor of Finance (2016-), Associate Dean for Research (2017-).

Recipient: SSHRC grant; Dean's Publication Award, HSB; The Standard Life Investments Finance Prize, European Corporate Governance Institute; Broderick Award for Excellence in Research, Boston University.

Past service: Chair, Finance Instructor Recruiting Committee, HSB; Finance Professor Recruiting Committee, HSB; Economics Department/School of Public Policy Recruiting Committee.

Current service: University Research Awards Working Committee; PDAC Consultation Advisory Committee; Associate Deans Research Council; Executive Council, HSB; Board Member, Northern Finance Association; Associate Editor, Journal of Financial Stability.

Deborah Kurrasch, Cumming School of Medicine

Associate Professor, Director of HBI International Programs, Deputy Department Head Medical Genetics

Recipient: CIHR, NSERC, CFI, URGC, Brain Canada, Private foundations

Recipient: Peak Scholar in Entrepreneurship, Innovation & Knowledge; Leaders in Medicine Supervision Award; GSA Supervisor Excellence Award; Calgary Top 40 Under 40

Past Service: Faculty representative, University Senate; Chair, Order of the University of Calgary committee; Senate Lecture of a Lifetime committee; ACHRI Research and Education Council; Chair, ACHRI Genes, Development & Health seminar series; CSM, Merit Review committee (Dean invitee); Search & Selection committees: Medical Genetics, Biochemistry & Molecular Biochemistry; Cell Biology & Anatomy; Psychology (10 in total); CSM Awards and Recognition committee; ACHRI Symposium Planning committee;

Current Service: Team Lead, Neurodevelopment Brain & Mental Health team; HBI Education Executive committee; HBI Strategic Research Innovation committee; Owerko Centre Executive committee, Owerko Centre Education committee; Neuroscience Graduate Program Executive committee; various studentship review committees (ACHRI, HBI, Owerko), as well as international service outside of the University of Calgary.

Bernhard Mayer, Faculty of Science

Dr. Bernhard Mayer is a nationally and internationally known geochemist. He is a full professor and serves as the head of the Department of Geoscience in the Faculty of Science since January 2016. Last year, he was awarded an Annual Killam Professorship (2017-18). He has served as assistant scientific director of Carbon Management Canada Inc. (2009-2013) and was appointed to a national scientific review panel on shale gas extraction coordinated by the Council of Canadian Academies (2012-2014). Dr. Mayer has successfully obtained research support from a wide range of international, federal and provincial peer-reviewed granting agencies (NSERC, CFI, Alberta Innovates, EU Horizon 2020 etc.) and from numerous industry partners.



UNIVERSITY OF
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**GENERAL FACULTIES COUNCIL
ACTION BRIEFING NOTE**

SUBJECT: Establishment of the 2019-2020 GFC Elected Membership Distribution

MOTION:

That the General Faculties Council (GFC) establish the total number of elected members to be on the GFC and determine and assign to each Faculty the number of members that may be elected by that Faculty as set out on the document provided to the GFC.

PROPOSERS

Ed McCauley, Chair of the General Faculties Council (GFC), and Susan Belcher, University Secretary.

REQUESTED ACTION

The amendments to the Post-Secondary Learning Act (PSLA) effective February 1, 2019 require that the GFC establish and assign the distribution of the elected GFC membership. This distribution is calculated by the Office of Institutional Analysis in accordance with Section 24(2) of the PSLA. Formerly, the PSLA required that the GFC direct the Registrar to do this.

KEY CONSIDERATIONS/POINTS

The membership of the GFC consists of four categories: 1) members by virtue of office, 2) elected academic staff members, 3) student members stipulated by the PSLA, and 4) appointed members.

The elected academic staff membership of GFC is derived from Section 24 (2) of the PSLA, which states that:

The general faculties council from time to time

(a) shall establish the total number of elected members to be on the general faculties council, which shall be twice the number of persons who are members of the general faculties council by virtue of their offices, and

(b) shall determine and assign to each faculty and school the number of members that may be elected by that faculty or school, which so far as is reasonably possible shall be in the same proportion to the total number of elected members as the number of full-time members of the academic staff of the faculty or school is to the total number of full-time members of the academic staff of all the faculties and schools.

Traditionally, this calculation is done annually. For 2019-2020, it is expected that there will be 24 members by virtue of office. There should therefore be 48 elected member seats. The Office of Institutional Analysis prepares the analysis of the data and produces a distribution of elected member seats that meets the requirements of the PSLA. Each Faculty receives a minimum of one elected member seat.

The calculations indicate that the distribution of seats will change for 2019-2020: the Werklund School of Education will lose one seat and the Cumming School of Medicine will gain one seat.

In addition to the academic staff member seats established and assigned as above, on March 15, 2012 GFC approved a recommendation of the Task Force to Review GFC and the GFC Standing Committees to expand the appointed membership category of GFC in order to preserve the ideal that the academic staff members of GFC be in the majority, and it was decided that, in addition to the PSLA-stipulated elected academic staff member seats, Faculties would be invited to appoint to additional seats as follows:

- 2 academic staff members selected by the Faculty of Arts
- 1 academic staff member selected by the Haskayne School of Business
- 1 academic staff member selected by the Werklund School of Education
- 1 academic staff member selected by the Schulich School of Engineering
- 1 academic staff member selected by the Faculty of Environmental Design
- 1 academic staff member selected by the Faculty of Kinesiology
- 2 academic staff members selected by the Faculty of Medicine
- 1 academic staff member selected by the Faculty of Nursing
- 2 academic staff members selected by the Faculty of Science
- 1 academic staff member selected by the Faculty of Social Work
- 1 academic staff member selected by the Faculty of Veterinary Medicine

The complete GFC membership list is available here: www.ucalgary.ca/secretariat/general-faculties-council

ROUTING AND PERSONS CONSULTED

<u>Progress</u>	<u>Body</u>	<u>Date</u>	<u>Approval</u>	<u>Recommendation</u>	<u>Discussion</u>	<u>Information</u>
	GFC Executive Committee	2019-01-29				X
X	General Faculties Council	2019-02-14	X			

NEXT STEPS

Provided the GFC approves the distribution, the University Secretariat will contact the Deans to communicate the number of academic staff member seats assigned to their Faculty.

SUPPORTING MATERIALS

1. Distribution of Elected GFC Membership, 2019-2020

DISTRIBUTION OF ELECTED GFC MEMBERSHIP, 2019-2020

Faculty	Full-time Academic Staff		Distribution of 48 Seats (2)	Distribution of 47 Seats (3)		2019-2020 Distribution of 48 Seats	Present 2018-2019 Distribution
	2017 (1)	2018 (1)	Decimalized	Decimalized	Rounded		
Arts	381	370	9.9384	9.7314	10	10	10
Cumming School of Medicine	517	521	13.9944	13.7029	14	14	13
Environmental Design	26	25	0.6715	0.6575	1	1	1
Graduate Studies	-	-	-	-	-	1	1
Haskayne School of Business	91	93	2.4980	2.4460	2	2	2
Kinesiology	29	26	0.6984	0.6838	1	1	1
Law	31	29	0.7790	0.7627	1	1	1
Nursing	68	65	1.7459	1.7096	2	2	2
Qatar	45	49	1.3162	1.2888	1	1	1
Schulich School of Engineering	159	162	4.3514	4.2608	4	4	4
Science	235	236	6.3391	6.2071	6	6	6
Social Work	49	49	1.3162	1.2888	1	1	1
Veterinary Medicine	63	67	1.7997	1.7622	2	2	2
Werklund School of Education	98	95	2.5518	2.4986	2	2	3
TOTAL	1,792	1,787	48.0000	47.0000	47	48	48

(1) Source: Human Resources, as of January 7, 201. Number of academic staff holding Continuing, Limited Term or Contingent Term full-time appointments. Does not include anyone holding a less than full-time appointment (less than 1.00 FTE). Academic staff whose appointment with the university is full-time but is split between two faculties have not been included.

(2) Based on distribution of full-time academic staff - rounded to equal 48 seats.

(3) By granting the Faculty of Graduate Studies one seat, 47 are left to distribute. Based on distribution of full-time academic staff - rounded to equal 47 seats.

Note: The *Post-Secondary Learning Act* stipulates that the number of elected members of GFC shall be twice the number of persons who are GFC members by virtue of their offices, and that these seats shall be assigned proportionately. The number of members by virtue of their offices for 2018-2019 is 24, therefore there are 48 elected seats to be divided amongst the fourteen Faculties.



**GENERAL FACULTIES COUNCIL
ACTION BRIEFING NOTE**

For Approval

For Recommendation

For Discussion

SUBJECT: Revisions to the Graduate Student Supervision Policy and Procedure

PROPONENT(S)

Robin Yates, Interim Vice-Provost and Dean, Graduate Studies
Deborah Book, Legal Counsel, University Legal Services

MOTION

That the General Faculties Council (GFC) approve the Graduate Student Supervision Policy and the Procedure for Formal Evaluation of Graduate Supervisory Privileges, in the forms provided to the GFC.

OVERVIEW

The Graduate Supervision Policy and related Procedure were approved by GFC in 2015. Since they have come into effect and have been implemented, a number of issues have arisen that require clarification and rewording.

KEY POINTS

The changes involve renaming the supervisory “review” process a “formal evaluation” process in order to lessen the confusion between renewal and review, as well as clarifying the circumstances that would prompt a formal evaluation and the steps involved.

Following discussion at the January meeting of the General Faculties Council, the drafting team reorganised provisions of the policy under the Continuity of Supervision section to improve clarity.

ROUTING AND PERSONS CONSULTED

<u>Progress</u>	<u>Body</u>	<u>Date</u>	<u>Approval</u>	<u>Recommendation</u>	<u>Discussion</u>	<u>Information</u>
	Faculty of Graduate Studies Council Executive Committee	09/14/2017			X	
	FGS Council	09/28/2017			X	
	FGSC Policy Committee	10/19/2017			X	
	FGSC Executive Committee	10/26/2017			X	
	FGS Council	11/02/2017			X	
	Extended Dean’s Council	10/24/2018			X	

	Graduate Academic Program Subcommittee	11/21/2018			X
	FGS Council	11/22/2018		X	
	Research and Scholarship Committee	12/11/2018			X
	Academic Planning and Priorities Committee	12/17/2018			X
	General Faculties Council	01/17/2019			X
X	General Faculties Council	02/14/2019	X		

NEXT STEPS

The drafting team will incorporate feedback from this meeting as appropriate.

SUPPORTING MATERIALS

1. Graduate Student Supervision Policy – proposed revised policy (clean)
2. Graduate Student Supervision Policy – blackline to version discussed at GFC in January
3. Procedure for the Formal Evaluation of Graduate Supervisory Privileges – proposed revised procedure (clean)
4. Procedure for the Formal Evaluation of Graduate Supervisory Privileges – blackline to version discussed at GFC in January

Graduate Student Supervision Policy

<p>Classification Academic Operations</p>	<p>Table of Contents</p> <p>1 Purpose 1</p> <p>2 Scope 1</p> <p>3 Definitions 1</p> <p>4 Policy Statement 2</p> <p>5 Responsibilities..... 5</p> <p>6 Related Procedures 6</p> <p>7 Related Instructions/Forms..... 6</p> <p>8 Related Operating Standards 6</p> <p>9 History 7</p>
<p>Approval Authority General Faculties Council</p>	
<p>Implementation Authority Dean and Vice-Provost (Graduate Studies)</p>	
<p>Effective Date July 1, 2015</p>	
<p>Last Reviewed February 14, 2019</p>	

- 1 Purpose** The purpose of this policy is to set out the eligibility criteria for Supervisory Privileges and to set out the expectations for Graduate Student supervision.
- 2 Scope** This policy applies to Academic Staff Members.
- 3 Definitions** In this policy
- a) “Academic Staff Member” means an individual who is engaged to work for the University and is identified as an academic staff member under Article 1 of the Collective Agreement.
 - b) “Collective Agreement” means the collective agreement between The Faculty Association of the University of Calgary and the Governors of the University of Calgary in effect at the relevant time.
 - c) “Co-Supervisor” means an individual who is named as Co-Supervisor and serves as a second Supervisor of a Graduate Student.
 - d) “Graduate Program Director” means the Academic Staff Member appointed by a Dean or Department Head to administer a graduate program.
 - e) “Graduate Student” means a student registered with the Faculty of Graduate Studies.

- f) “Instructor Ranks” means the positions of Instructor, Senior Instructor and Teaching Professor.
- g) “Professorial Ranks” means the positions of Assistant Professor, Associate Professor and Professor.
- h) “Supervisor” means a qualified individual, who is normally an Academic Staff Member, who serves as the primary mentor to a Graduate Student, oversees the Graduate Student’s academic progress, and serves as chair of the Graduate Student’s supervisory committee, where applicable.
- i) “Supervisory Privileges” means the privilege granted to a qualified individual to supervise masters and/or doctoral students within the parameters of a program's supervisory policy.
- j) “University” means the University of Calgary.

4 Policy Statement

- 4.1 The University is committed to providing the consistent and high quality supervision that is critical to Graduate Students’ success.
- 4.2 Expectations for Supervisors and Co-Supervisors are set out in the [Best Practices for Supervisors](#). Provisions in this policy and the related procedure respecting the granting, renewal, and formal evaluation of Supervisory Privileges apply to the granting, renewal or formal evaluation of Supervisory Privileges for all Academic Staff Members, including Academic Staff Members serving as Co-Supervisors.

Eligibility for Supervisory Privilege

- 4.3 An Academic Staff Member in the Professorial Ranks (including a member of the Senior Leadership Team holding a concurrent academic appointment) is eligible to hold Supervisory Privileges.
- 4.4 An Academic Staff Member in the Instructor Ranks is eligible to hold Supervisory Privileges if the appropriate Dean recommends Supervisory Privileges and indicates graduate supervision comprises a component of workload for this Academic Staff Member.
- 4.5 An emeritus faculty professor, or adjunct or clinical appointee who has experience and continuing research productivity in the Graduate Student’s field of interest, or a faculty member from another recognized institution holding equivalent supervisory privileges, may also be appointed as a Supervisor on a case by case basis. A Co-Supervisor who is an Academic Staff Member and has unlimited Supervisory Privileges must be appointed under such circumstances.

Granting of Supervisory Privileges

- 4.6 A Dean, Associate Dean or Department Head, in consultation with the Graduate Program Director, may recommend an eligible Academic Staff Member for

Supervisory Privileges. The recommendation should specify whether the Supervisory Privileges:

- a) are limited to a number of Graduate Students;
- b) are limited to a level of Student;
- c) require a Co-Supervisor;
- d) require a mentor; or
- e) are unlimited.

The Dean, Associate Dean or Department Head who recommended any limitations on an Academic Staff Member's Supervisory Privileges may, at any time, recommend lifting any of the limitations.

- 4.7** The Dean of the Faculty of Graduate Studies will grant initial Supervisory Privileges for a renewable five year term on the recommendation of the appropriate Dean, or delegate. The Dean of the Faculty of Graduate Studies will lift limitations on a Supervisor's Supervisory Privileges on the recommendation of the appropriate Dean, or delegate.
- 4.8** Graduate programs will maintain their own supervisory policies, which cannot contradict this policy. These supervisory policies will specify criteria for granting limited or unlimited Supervisory Privileges and will set out a maximum supervisory load.
- 4.9** Prior to being granted Supervisory Privileges for the first time by the Dean of the Faculty of Graduate Studies, all prospective Supervisors must either attend a University Supervisory Development Workshop or complete an approved on-line supervisor development program.

Renewal and Formal Evaluation of Supervisory Privileges

- 4.10** Supervisory Privileges will be subject to renewal every five years. At least six months prior to the expiry of a Supervisor's Supervisory Privileges, the Faculty of Graduate Studies will alert the Graduate Program Director of the upcoming expiry. In consultation with the appropriate Dean or their delegate, the Graduate Program Director will review the supervisory record.
- 4.11** If the review of the supervisory record does not identify any concerns the Graduate Program Director and Dean/delegate will recommend renewal of the Supervisor's Supervisory Privileges to the Dean of the Faculty of Graduate Studies and the Dean of the Faculty of Graduate Studies will renew the Supervisory Privileges for another renewable five year term.
- 4.12** If a review of the supervisory record identifies concerns, such as a pattern of Graduate Student withdrawals or changes in supervision, a pattern of protracted times to candidacy or completion (beyond the norm in the graduate program and not attributable to specificities of the area of study), the Dean of the Supervisor's faculty will initiate a formal evaluation of the Supervisor's Supervisory Privileges.
- 4.13** Outside of the five year renewal process, a formal evaluation of Supervisory Privileges may be initiated by the Dean of the Supervisor's faculty:

- a) upon receipt of a written complaint relating to supervision; or
- b) when the Office of Diversity, Equity and Protected Disclosure has determined that a responsible allegation has been made relating primarily to graduate supervision and the allegation is best addressed through a formal review of Supervisory Privileges; or
- c) in response to what the Dean of the Supervisor's faculty perceives to be a pattern of serious conflicts or negative outcomes relating to Graduate Student supervision since the most recent renewal of privileges.

4.14 Formal evaluations of Supervisory Privileges will be conducted under the Procedure for the Formal Evaluation of Supervisory Privileges.

4.15 Removal of Supervisory Privileges should occur only in exceptional circumstances, or when remedial or mentoring efforts have not changed the patterns or concerns that initiated the formal evaluation.

Continuity of Supervision

4.16 In agreeing to supervise a Graduate Student, an Academic Staff Member is committing to supervising that Graduate Student through to completion of their degree or withdrawal from the graduate program. A Supervisor may be released from this commitment only if:

- a) the Faculty of Graduate Studies requires the Graduate Student to withdraw;
- b) the Faculty of Graduate Studies determines that there are exceptional circumstances and grants the Supervisor permission to discontinue supervision of a Graduate Student; or
- c) the Supervisor leaves the University.

4.17 If a Supervisor leaves the University, the Graduate Program Director, the graduate program and the Faculty of Graduate Studies must arrange for alternative supervision, if required.

Financial Commitments

4.18 When a Supervisor offers financial support to a Graduate Student, a Supervisor makes a commitment on behalf of the University. This commitment should be co-signed or otherwise approved by the Graduate Program Director.

4.19 A Supervisor should clearly state in the offer of financial support any expectations associated with the financial support arrangement such as the Graduate Student's continued registration and progress in a graduate program and contribution to the Supervisor's research program.

4.20 In instances of breakdown of the Supervisory relationship, financial exigency or other circumstances, it is the collective responsibility of the Supervisor(s), the graduate program(s) and the Faculty of Graduate Studies to ensure that financial commitments are met.

Leaves of Absence

- 4.21 A Graduate Program Director and the Supervisor must ensure that the Graduate Student is provided with continued supervision during a Supervisor's long-term leave. If the Supervisor and any Co-Supervisor will be unavailable, an interim Supervisor may be appointed to ensure continuity in supervision.
- 4.22 Graduate Students should be informed well in advance about Supervisors' or any Co-Supervisors' plans for upcoming research or scholarship leaves.
- 4.23 When an interim Supervisor is appointed to cover a Supervisor's absence, the permanent Supervisor retains responsibility for the continued supervision of the Graduate Student.

5 Responsibilities

5.1 Supervisors will:

- a) complete the [Checklist of Expectations](#) between Supervisor and Graduate Student;
- b) be familiar with the [Best Practices for Supervisors](#);
- c) assist the Graduate Student with the selection and planning of a suitable and manageable research topic with due consideration of the resources necessary for completion of the research project;
- d) be accessible to the Graduate Student for consultation and discussion of the Graduate Student's academic progress and research;
- e) respond in a timely manner to written work submitted by the Graduate Student with constructive suggestions for improvement;
- f) achieve consensus, resolve differences, or seek outside opinions (e.g., Graduate Program Director) when there is conflicting advice or when there are different expectations on the part of Co-Supervisors or members of the Supervisory Committee;
- g) be familiar with and abide by the rules and regulations of the Faculty of Graduate Studies, and the graduate program, including the chronological sequence of events and deadline dates in a Graduate Student's program;
- h) assist the Graduate Student to be aware of current program requirements, deadlines, sources of funding, and general expectations of examinations;
- i) complete the Supervisor's section of the Graduate Student's annual progress report and offer suggestions for improvement when deficiencies in progress exist;
- j) encourage the Graduate Student to make presentations of research results within the University and to outside scholarly or professional bodies as appropriate;
- k) acknowledge the contributions of the Graduate Student in presentations and in published material, including joint authorship, if appropriate; and
- l) discuss with the Graduate Student the Intellectual Property Checklist (available at <http://grad.ucalgary.ca/current/managing-my-program/supervision>) and conform to University and other policies regarding intellectual property, scholarly integrity (e.g., academic misconduct), and other policies applicable to the research environment including the Research Integrity Policy.

- 5.2** The Dean of Graduate Studies will:
- a) grant Supervisory Privileges and determine whether Supervisory Privileges will be revoked, limited or renewed upon the recommendation of the appropriate Dean, or delegate.
 - b) decide whether Supervisory Privileges will be renewed following a review under 4.13; and
 - c) remove limitations on Supervisory Privileges when recommended by the appropriate Dean, Associate Dean or Department Head.
- 5.3** The Dean of a Supervisor’s faculty will:
- a) in consultation with the Graduate Program Director, make recommendations to the Dean of Graduate Studies regarding Supervisory Privileges;
 - b) in consultation with the Graduate Program Director, review the supervisory record of Supervisors in their faculty at least every five years or in response to reported concerns; and
 - c) initiate a Formal Evaluation of Supervisory Privileges when required pursuant to section 4.13.
- 5.4** The Graduate Program Director will:
- a) convey information about relevant policies, procedures and regulations to Graduate Students, Supervisors, Co-Supervisors and Supervisory Committee members;
 - b) review and approve financial support agreements between Graduate Students and Supervisors;
 - c) ensure that Graduate Students have appropriate supervision and Supervisory Committees (where applicable);
 - d) review and approve documentation pertaining to the required Graduate Student annual progress reports, examinations, extensions, and Graduate Student leaves of absence;
 - e) in consultation with the appropriate Dean review the supervisory record of the Supervisors and Co-Supervisors in their program as part of the five year renewal process; and
 - f) recommend renewal of Supervisory Privileges when no concerns are identified.
- 5.5** The Department Head or Associate Dean of a teaching Faculty will:
- a) in consultation with the Graduate Program Director, make recommendations to the Dean of Graduate Studies regarding Supervisory Privileges.

- | | | |
|----------|------------------------------------|---|
| 6 | Related Procedures | <u>Procedure for the Evaluation of Supervisory Privileges</u> |
| 7 | Related Instructions/Forms | <u>Application for Renewal of Supervisory Privileges</u> |
| 8 | Related Operating Standards | <u>Best Practices for Supervisors</u> |

9 History

Approved: February 12, 2015

Effective: July 1, 2015



Graduate Student Supervision Policy

Classification Academic Operations	Table of Contents 1 Purpose 1 2 Scope 1 3 Definitions 1 4 Policy Statement 2 5 Responsibilities 6 6 Related Procedures 7 7 Related Instructions/Forms 7 8 Related Operating Standards 8 9 History 8 1 Purpose 1 2 Scope 1 3 Definitions 1 4 Policy Statement 2 5 Responsibilities 6 6 Related Procedures 7 7 Related Instructions/Forms 7 8 Related Operating Standards 8 9 History 8
Approval Authority General Faculties Council	
Implementation Authority Dean and Vice-Provost (Graduate Studies)	
Effective Date July 1, 2015	
Last Reviewed Insert Last Reviewed Date <u>February 14, 2019</u>	

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- 1 Purpose** The purpose of this policy is to set out the eligibility criteria for Supervisory Privileges and to set out the expectations for Graduate Student supervision.
- 2 Scope** This policy applies to Academic Staff Members.
- 3 Definitions** In this policy
 - a) "Academic Staff Member" means an individual who is engaged to work for the University and is identified as an academic staff member under Article 1 of the Collective Agreement.
 - b) "Collective Agreement" means the collective agreement between The Faculty Association of the University of Calgary and the Governors of the University of Calgary in effect at the relevant time.
 - c) "Co-Supervisor" means an individual who is named as Co-Supervisor and serves as a second Supervisor of a Graduate Student.

- d) "Graduate Program Director" means the Academic Staff Member appointed by a Dean or Department Head to administer a graduate program.
- e) "Graduate Student" means a student registered with the Faculty of Graduate Studies.
- f) "Instructor Ranks" means the positions of Instructor, Senior Instructor and Teaching Professor.
- g) "Professorial Ranks" means the positions of Assistant Professor, Associate Professor and Professor.
- h) "Supervisor" means a qualified individual, who is normally an Academic Staff Member, who serves as the primary mentor to a Graduate Student, oversees the Graduate Student's academic progress, and serves as chair of the Graduate Student's supervisory committee, where applicable.
- i) "Supervisory Privileges" means the privilege granted to a qualified individual to supervise masters and/or doctoral students within the parameters of a program's supervisory policy.
- j) "University" means the University of Calgary.

4 Policy Statement

- 4.1 The University is committed to providing the consistent and high quality supervision that is critical to Graduate Students' success.
- 4.2 Expectations for Supervisors and Co-Supervisors are set out in the [Best- Practices for Supervisors](#). Provisions in this policy and the related procedure respecting the granting, renewal, and formal evaluation of Supervisory Privileges apply to the granting, renewal or formal evaluation of Supervisory Privileges for all Academic Staff Members, including Academic Staff Members serving as Co-Supervisors.

Eligibility for Supervisory Privilege

- 4.3 An Academic Staff Member in the Professorial Ranks (including a member of the Senior Leadership Team holding a concurrent academic appointment) is eligible to hold Supervisory Privileges.
- 4.4 An Academic Staff Member in the Instructor Ranks is eligible to hold Supervisory Privileges if the appropriate Dean recommends Supervisory Privileges and indicates graduate supervision comprises a component of workload for this Academic Staff Member.
- 4.5 An emeritus faculty professor, or adjunct or clinical appointee who has experience and continuing research productivity in the Graduate Student's field of interest, or a faculty member from another recognized institution holding equivalent supervisory

privileges, may also be appointed as a Supervisor on a case by case basis. A Co-Supervisor who is an Academic Staff Member and has unlimited Supervisory Privileges must be appointed under such circumstances.

Granting of Supervisory Privileges

- 4.6** A Dean, Associate Dean or Department Head, in consultation with the Graduate Program Director, may recommend an eligible Academic Staff Member for Supervisory Privileges. The recommendation should specify whether the Supervisory Privileges:
- a) are limited to a number of Graduate Students;
 - b) are limited to a level of Student;
 - c) require a Co-Supervisor;
 - d) require a mentor; or
 - e) are unlimited.

The Dean, Associate Dean or Department Head who recommended any limitations on an Academic Staff Member's Supervisory Privileges may, at any time, recommend lifting any of the limitations.

- 4.7** The Dean of the Faculty of Graduate Studies will grant initial Supervisory Privileges for a renewable five year term on the recommendation of the appropriate Dean, or delegate. The Dean of the Faculty of Graduate Studies will lift limitations on a Supervisor's Supervisory Privileges on the recommendation of the appropriate Dean, or delegate.
- 4.8** Graduate programs will maintain their own supervisory policies, which cannot contradict this policy. These supervisory policies will specify criteria for granting limited or unlimited Supervisory Privileges and will set out a maximum supervisory load.
- 4.9** Prior to being granted Supervisory Privileges for the first time by the Dean of the Faculty of Graduate Studies, all prospective Supervisors must either attend a University Supervisory Development Workshop or complete an approved on-line supervisor development program.

Renewal and Formal Evaluation of Supervisory Privileges

- 4.10** Supervisory Privileges will be subject to renewal every five years. At least six months prior to the expiry of a Supervisor's Supervisory Privileges, the Faculty of Graduate Studies will alert the Graduate Program Director of the upcoming expiry. In

consultation with the appropriate Dean or their delegate, the Graduate Program Director will review the supervisory record.

- 4.11** If the review of the supervisory record does not identify any concerns the Graduate Program Director and Dean/delegate will recommend renewal of the Supervisor's Supervisory Privileges to the Dean of the Faculty of Graduate Studies and the Dean of the Faculty of Graduate Studies will renew the Supervisory Privileges for another renewable five year term.
- 4.12** If a review of the supervisory record identifies concerns, such as a pattern of Graduate Student withdrawals or changes in supervision, a pattern of protracted times to candidacy or completion (beyond the norm in the graduate program and not attributable to specificities of the area of study), the Dean of the Supervisor's faculty will initiate a formal evaluation of the Supervisor's Supervisory Privileges.
- 4.13** Outside of the five year renewal process, a formal evaluation of ~~supervisory privileges~~Supervisory Privileges may be initiated by the Dean of the Supervisor's faculty:
- a) upon receipt of a written complaint relating to supervision; or
 - b) when the Office of Diversity, Equity and Protected Disclosure has determined that a responsible allegation has been made relating primarily to graduate supervision and the allegation is best addressed through a formal review of ~~supervisory privileges~~Supervisory Privileges; or
 - c) in response to what the Dean of the Supervisor's faculty perceives to be a pattern of serious conflicts or negative outcomes relating to Graduate Student supervision since the most recent renewal of privileges.
- 4.14** Formal evaluations of Supervisory Privileges will be conducted under the Procedure for the Formal Evaluation of Supervisory Privileges.
- 4.15** Removal of Supervisory Privileges should occur only in exceptional circumstances, or when remedial or mentoring efforts have not changed the patterns or concerns that initiated the formal evaluation.

Continuity of Supervision

- 4.16** In agreeing to supervise a Graduate Student, an Academic Staff Member is committing to supervising that Graduate Student through to completion of their degree or withdrawal from the graduate program. A Supervisor may be released from this commitment only if:

~~4.17~~ If a Supervisor has significant concerns about a Graduate Student's lack of progress, the Supervisor should initiate the Graduate Student's requirement to withdraw for failure to maintain progress.

~~4.18a)~~ If the requirement to withdraw is not approved by the ~~the~~ Faculty of Graduate Studies, the Supervisor may be required to fulfill his/her commitment ~~to requires~~ the Graduate Student ~~to withdraw~~;

~~b)~~ Under the Faculty of Graduate Studies determines that there are exceptional circumstances, ~~a~~ and grants the Supervisor ~~may request~~ permission ~~from the Faculty of Graduate Studies~~ to discontinue supervision of a Graduate Student; ~~or~~ ~~4.19c)~~ the Supervisor leaves the University.

~~4.204.17~~ If a Supervisor leaves the University, the Graduate Program Director, the graduate program and the Faculty of Graduate Studies must arrange for alternative supervision, if required.

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Financial Commitments

~~4.214.18~~ When a Supervisor offers financial support to a Graduate Student, a Supervisor makes a commitment on behalf of the University. This commitment should be co-signed or otherwise approved by the Graduate Program Director.

~~4.224.19~~ A Supervisor should clearly state in the offer of financial support any expectations associated with the financial support arrangement such as the Graduate Student's continued registration and progress in a graduate program and contribution to the Supervisor's research program.

~~4.234.20~~ In instances of breakdown of the Supervisory relationship, financial exigency or other circumstances, it is the collective responsibility of the Supervisor(s), the graduate program(s) and the Faculty of Graduate Studies to ensure that financial commitments are met.

Leaves of Absence

~~4.244.21~~ A Graduate Program Director and the Supervisor must ensure that the Graduate Student is provided with continued supervision during a Supervisor's long-term leave. If the Supervisor and any Co-Supervisor will be unavailable, an interim Supervisor may be appointed to ensure continuity in supervision.

4.254.22 Graduate Students should be informed well in advance about Supervisors' or any Co-Supervisors' plans for upcoming research or scholarship leaves.

4.264.23 When an interim Supervisor is appointed to cover a Supervisor's absence, the permanent Supervisor retains responsibility for the continued supervision of the Graduate Student.

5 Responsibilities

5.1 Supervisors will:

- a) complete the [Checklist of Expectations](#) between Supervisor and Graduate Student;
- b) be familiar with the [Best Practices for Supervisors](#);
- c) assist the Graduate Student with the selection and planning of a suitable and manageable research topic with due consideration of the resources necessary for completion of the research project;
- d) be accessible to the Graduate Student for consultation and discussion of the Graduate Student's academic progress and research;
- e) respond in a timely manner to written work submitted by the Graduate Student with constructive suggestions for improvement;
- f) achieve consensus, resolve differences, or seek outside opinions (e.g., Graduate Program Director) when there is conflicting advice or when there are different expectations on the part of Co-Supervisors or members of the Supervisory Committee;
- g) be familiar with and abide by the rules and regulations of the Faculty of Graduate Studies, and the graduate program, including the chronological sequence of events and deadline dates in a Graduate Student's program;
- h) assist the Graduate Student to be aware of current program requirements, deadlines, sources of funding, and general expectations of examinations;
- i) complete the Supervisor's section of the Graduate Student's annual progress report and offer suggestions for improvement when deficiencies in progress exist;
- j) encourage the Graduate Student to make presentations of research results within the University and to outside scholarly or professional bodies as appropriate;
- k) acknowledge the contributions of the Graduate Student in presentations and in published material, including joint authorship, if appropriate; and
- l) discuss with the Graduate Student the Intellectual Property Checklist (available at <http://grad.ualgary.ca/current/managing-my-program/supervision>) and conform to University and other policies regarding intellectual property, scholarly integrity (e.g., academic misconduct), and other policies applicable to the research environment including the Research Integrity Policy.

5.2 The Dean of Graduate Studies will:

- a) grant Supervisory Privileges and determine whether Supervisory Privileges will be revoked, limited or renewed upon the recommendation of the appropriate Dean, or delegate.
- b) decide whether Supervisory Privileges will be renewed following a review under 4.13; and
- c) remove limitations on Supervisory Privileges when recommended by the appropriate Dean, Associate Dean or Department Head.

5.3 The Dean of a Supervisor's faculty will:

- a) in consultation with the Graduate Program Director, make recommendations to the Dean of Graduate Studies regarding Supervisory Privileges;
- b) in consultation with the Graduate Program Director, review the supervisory record of Supervisors in their faculty at least every five years or in response to reported concerns; and
- c) initiate a Formal Evaluation of Supervisory Privileges when required pursuant to section 4.13.

5.4 The Graduate Program Director will:

- a) convey information about relevant policies, procedures and regulations to Graduate Students, Supervisors, Co-Supervisors and Supervisory Committee members;
- b) review and approve financial support agreements between Graduate Students and Supervisors;
- c) ensure that Graduate Students have appropriate supervision and Supervisory Committees (where applicable);
- d) review and approve documentation pertaining to the required Graduate Student annual progress reports, examinations, extensions, and Graduate Student leaves of absence;
- e) in consultation with the appropriate Dean review the supervisory record of the Supervisors and Co-Supervisors in their program as part of the five year renewal process; and
- f) recommend renewal of Supervisory Privileges when no concerns are identified.

5.5 The Department Head or Associate Dean of a teaching Faculty will:

- a) in consultation with the Graduate Program Director, make recommendations to the Dean of Graduate Studies regarding Supervisory Privileges.

6 Related Procedures

[Procedure for the Evaluation of Supervisory Privileges](#)

7 Related Instructions/Forms

[Application for Renewal of Supervisory Privileges](#)

8 Related Operating Standards [Best Practices for Supervisors](#)

9 History *Approved:* February 12, 2015
Effective: July 1, 2015

Procedure for the Formal Evaluation of Graduate Supervisory Privileges

Classification Academic Operations	Table of Contents 1 Purpose 1 2 Scope 1 3 Definitions 1 4 Procedure 2 5 Parent Policy..... 4 6 Related Information 4 7 History 4
Approval Authority General Faculties Council	
Implementation Authority Dean and Vice-Provost (Graduate Studies)	
Effective Date July 1, 2015	
Last Reviewed February 14, 2019	

- 1 Purpose** The purpose of this procedure is to outline the process for the Formal Evaluation of Supervisory Privileges as established in 4.12 and 4.13 of the Graduate Supervision Policy.
- 2 Scope** This procedure applies to Academic Staff Members who hold Supervisory Privileges. For clarity, the procedure applies to the formal evaluation of Supervisory Privileges for all Academic Staff Members whether the Academic Staff Member is serving as a Supervisor, Co-Supervisor, or is not currently supervising any Graduate Students at the time of the formal evaluation.
- 3 Definitions** In this procedure:
- a) “Academic Staff Member” means an individual who is engaged to work for the University and is identified as an academic staff member under Article 1 of the Collective Agreement.
 - b) “Administrative Delegate” means the Department Head or Associate Dean delegated to act on behalf of the Dean of the Faculty.
 - c) “Collective Agreement” means the collective agreement between The Faculty Association of the University of Calgary and the Governors of the University of Calgary in effect at the relevant time.
 - d) “Co-Supervisor” means an individual who is named as Co-Supervisor and serves as a second Supervisor of a Graduate Student.

- e) “Graduate Program Director” means the Academic Staff Member appointed by a dean or department head to administer a graduate program.
- f) “Graduate Student” means a student registered in the Faculty of Graduate Studies.
- g) “Supervisor” means a qualified individual, who is normally an Academic Staff Member, who serves as the primary mentor to a Graduate Student, oversees the Graduate Student’s academic progress, and serves as chair of the Graduate Student’s supervisory committee, where applicable.
- h) “Supervisory Privileges” means the privilege granted to a qualified individual to supervise masters and/or doctoral students within the parameters of a program's supervisory policy.
- i) “University” means the University of Calgary.

4 Procedure

Initiation

- 4.1 A formal evaluation of Supervisory Privileges may occur as a result of the five year renewal review or at any time in response to concerns, as set out in sections 4.12 and 4.13 of the Graduate Supervision Policy.
- 4.2 A formal evaluation of Supervisory Privileges will be initiated by the Dean of the Faculty in which the Supervisor holds their primary appointment.
- 4.3 The Dean who initiates the formal evaluation will appoint an Administrative Delegate to conduct the evaluation.
- 4.4 The Dean who initiates the formal evaluation will notify the Supervisor that:
 - a) a Formal Evaluation has been initiated; and
 - b) the Supervisor has the right to seek the assistance of the University of Calgary Faculty Association.

This notification initiates the process.

Process for Formal Evaluation

- 4.5 Once the Dean has notified the Supervisor that a formal evaluation has been initiated, the Administrative Delegate will:
 - a) schedule an formal evaluation meeting no sooner than three weeks after the notification was sent to the Supervisor;

- b) collect relevant information and solicit feedback from relevant individuals such as current and/or former Graduate Students, Graduate Program Directors and Supervisory Committee Members;
- c) provide the Supervisor with a summary of this feedback at least one week prior to the formal evaluation meeting;
- d) hold the formal evaluation meeting to review the supervisory record and feedback collected with the Supervisor;
- e) within 10 working days after the formal evaluation meeting, submit a written report to the Dean of Graduate Studies, copied to the Supervisor and the Dean who initiated the formal evaluation.

4.6 The written report will include one of the following recommendations:

- a) renewal of full Supervisory Privileges for an additional five year term;
- b) conditional renewal with restrictions of Supervisory Privileges;
- c) renewal being contingent on completion of supervisory development activities; or
- d) no renewal of Supervisory Privileges

4.7 The Supervisor will be given three weeks, from the delivery of the written report to the Supervisor, to review the recommendation and respond in writing to the Dean of Graduate Studies.

4.8 Six weeks after receiving the written report from the Administrative Delegate, the Dean of Graduate Studies will determine whether Supervisory Privileges will be renewed, limited or removed. This will be communicated to the Supervisor, Administrative Delegate and Dean who initiated the process, in writing.

Outcome

4.9 Decisions that restrict or remove an Academic Staff Member's Supervisory Privileges as a result of the formal evaluation as set out in 4.5 will result in the imposition of appropriate discipline pursuant to Article 20 of the Collective Agreement.

4.10 Copies of the Administrative Delegate's written report, the Supervisor's response, and the written decision of the Dean of Graduate Studies will be removed from the Academic Staff Member's file a five year period of continuous service has elapsed, or such shorter period as the Provost and Vice-President (Academic) may determine, provided that the Academic Staff Member's file does not contain any further record of disciplinary action or any further limitations or conditions on the Academic Staff Member's Supervisory Privileges during such period.

4.11 Decisions of limitations, conditional renewal or no renewal will be reviewed annually by the Dean of Graduate Studies.

4.12 In circumstances where Supervisory Privileges are limited or not renewed, the Dean of Graduate Studies will determine whether the Supervisor will continue to supervise Graduate Students already assigned to them.

- 5 Parent Policy** [Graduate Student Supervision Policy](#)

- 6 Related Information** [Best Practices for Supervisors](#)
 [Application for Renewal of Supervisory Privileges](#)

- 7 History** *Approved:* February 12, 2015

 Effective: July 1, 2015

Procedure for the Formal Evaluation of Graduate Supervisory Privileges

Classification Academic Operations	Table of Contents <u>1 Purpose</u> 1
Approval Authority General Faculties Council	<u>2 Scope</u> 1
Implementation Authority Dean and Vice-Provost (Graduate Studies)	<u>3 Definitions</u> 1
Effective Date July 1, 2015	<u>4 Procedure</u> 2
Last Reviewed <u>Insert Last Reviewed Date</u> <u>February 14, 2019</u>	<u>5 Parent Policy</u> 4
	<u>6 Related Information</u> 4
	<u>7 History</u> 4

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- 1 Purpose** The purpose of this procedure is to outline the process for the Formal Evaluation of Supervisory Privileges as established in 4.12 and 4.13 of the Graduate Supervision Policy.
- 2 Scope** This procedure applies to Academic Staff Members who hold Supervisory Privileges. For clarity, the procedure applies to the formal evaluation of Supervisory Privileges for all Academic Staff Members whether the Academic Staff Member is serving as a Supervisor, Co-Supervisor, or is not currently supervising any Graduate Students at the time of the formal evaluation.
- 3 Definitions** In this procedure:
- "Academic Staff Member" means an individual who is engaged to work for the University and is identified as an academic staff member under Article 1 of the Collective Agreement.
 - "Administrative Delegate" means the department head or associate dean delegated to act on behalf of the dean of ~~a faculty~~ the Faculty.
 - "Collective Agreement" means the collective agreement between The Faculty Association of the University of Calgary and the Governors of the University of Calgary in effect at the relevant time.

- d) "Co-Supervisor" means an individual who is named as Co-Supervisor and serves as a second Supervisor of a Graduate Student.
- e) "Graduate Program Director" means the Academic Staff Member appointed by a dean or department head to administer a graduate program.
- f) "Graduate Student" means a student registered in the Faculty of Graduate Studies.
- g) "Supervisor" means a qualified individual, who is normally an Academic Staff Member, who serves as the primary mentor to a Graduate Student, oversees the Graduate Student's academic progress, and serves as chair of the Graduate Student's supervisory committee, where applicable.
- h) "Supervisory Privileges" means the privilege granted to a qualified individual to supervise masters and/or doctoral students within the parameters of a program's supervisory policy.
- i) "University" means the University of Calgary.

4 Procedure

Initiation

- 4.1 A formal evaluation of Supervisory Privileges may occur as a result of the five year renewal review or at any time in response to concerns, as set out in sections 4.12 and 4.13 of the Graduate Supervision Policy.
- 4.2 A formal evaluation of Supervisory Privileges will be initiated by the Dean of the Faculty in which the Supervisor holds their primary appointment.
- 4.3 The Dean who initiates the formal evaluation will appoint an Administrative Delegate to conduct the evaluation.
- 4.4 The Dean who initiates the formal evaluation will notify the Supervisor that:
 - a) a formal evaluation has been initiated; and
 - b) the Supervisor has the right to seek the assistance of the University of Calgary Faculty Association.

This notification initiates the process.

Process for Formal Evaluation

- 4.5 Once the Dean has notified the Supervisor that a formal evaluation has been initiated, the Administrative Delegate will:

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~~Formal~~ Evaluation of Graduate Supervisory Privilege

- a) schedule an formal evaluation meeting no sooner than three weeks after the notification was sent to the Supervisor;
- b) collect relevant information and solicit feedback from relevant individuals such as current and/or former Graduate Students, Graduate Program Directors and Supervisory Committee Members;
- c) provide the Supervisor with a summary of this feedback at least one week prior to the formal evaluation meeting;
- d) hold the formal evaluation meeting to review the supervisory record and feedback collected with the Supervisor;
- e) within 10 working days after the formal evaluation meeting, submit a written report to the Dean of Graduate Studies, copied to the Supervisor and the Dean who initiated the formal evaluation.

4.6 The written report will include one of the following recommendations:

- a) renewal of full Supervisory Privileges for an additional five year term;
- b) conditional renewal with restrictions of Supervisory Privileges;
- c) renewal being contingent on completion of supervisory development activities; or
- d) no renewal of Supervisory Privileges

4.7 The Supervisor will be given three weeks, from the delivery of the written report to the Supervisor, to review the recommendation and respond in writing to the Dean of Graduate Studies.

~~4.8~~ Six weeks after receiving the written report from the Administrative Delegate, the Dean of Graduate Studies will determine whether Supervisory Privileges will be renewed, limited or removed. This will be communicated to the Supervisor, Administrative Delegate and Dean who initiated the ~~formal evaluation~~ process, in writing.

~~4.8~~

Outcome

4.9 Decisions that restrict or remove an Academic Staff Member's Supervisory Privileges as a result of the formal evaluation will result in the imposition of appropriate discipline pursuant to Article 20 of the Collective Agreement.

4.10 Copies of the Administrative Delegate's written report, the Supervisor's response, and the written decision of the Dean of Graduate Studies will be removed from the Academic Staff Member's file if a five year period of continuous service has elapsed, or such shorter period as the Provost and Vice-President (Academic) may determine, provided that the Academic Staff Member's file does not contain any further record of disciplinary action or any further limitations or conditions on the Academic Staff Member's Supervisory Privileges during such period.

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4.11 Decisions of limitations, conditional renewal or no renewal will be reviewed annually by the Dean of Graduate Studies.

4.12 In circumstances where Supervisory Privileges are limited or not renewed, the Dean of Graduate Studies will determine whether the Supervisor will continue to supervise Graduate Students already assigned to them.

5 Parent Policy

[Graduate Student Supervision Policy](#)

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6 Related Information

[Best Practices for Supervisors](#)
[Application for Renewal of Supervisory Privileges](#)

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7 History

Approved: February 12, 2015

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Effective: July 1, 2015

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Revised: September 1, 2018

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UNIVERSITY OF
CALGARY

**GENERAL FACULTIES COUNCIL
INFORMATION BRIEFING NOTE**

SUBJECT: Revised University Code of Conduct

PROPONENT(S)

Karen Jackson, General Counsel

PURPOSE

To inform the General Faculties Council (GFC) of the changes made to the University Code of Conduct since the August 16, 2018 draft of the code was discussed with GFC on October 11, 2018. The University Code of Conduct must comply with the December 2017 amendments to Alberta's *Conflicts of Interest Act* (the "Act") and must be approved by the Alberta Ethics Commissioner. The Ethics Commissioner has approved the attached version of the Code. It will go to the Board of Governors for approval in March 2019 and, if approved, will become effective April 30, 2019.

KEY POINTS

The most important revisions to the Code of Conduct since August 16, 2018 relate to concurrent employment and appointments and to gifts.

Concurrent Employment and Appointments

The revisions to the concurrent employment and appointment provisions are summarized below:

1. The requirement for prior reporting and approval of concurrent appointments only applies to concurrent appointments for which the individual (e.g. students, academic staff, other employees, members of the university's board of governors or a committee of the Board of Governors, a member of the Senate or a member of the Board of Directors of the University Alumni Association) receives or is entitled to receive remuneration.
2. If an employee receives income through a research grant, the research work is considered concurrent employment. If the research grant is administered through the university, the research work will be deemed to be pre-approved; if not, it must be reported and approved.
3. Any concurrent employment and any paid appointment of a student who is an employee of the university does not need to be reported and will be deemed to have been pre-approved if the concurrent employment or paid appointment is in the retail, hospitality or service industries.
4. Any concurrent employment and any paid appointment of an academic staff member who does not hold a full-time position at the university does not need to be reported and will be deemed to have been pre-approved if:
 - a) their position at the university is unpaid;
 - b) their concurrent employment/appointment is with another PSI;
 - c) they teach no more than two courses a semester at the university; or

- d) their concurrent employment/appointment requires them to be a member of a specified professional association which has a code of conduct and can discipline members for breach of their code. The “specified professional associations” are listed in the university’s code of conduct.
5. If the university knows, at the time an academic staff member is hired/appointed to a full-time or part-time position at the university, that the academic staff member is being concurrently or jointly hired/appointed to a position at another organization or holds a position at another organization, their position at the other organization will be deemed to be reported and pre-approved.
 6. Any concurrent employment and any paid appointment of another employee (a non-academic staff member and a non-student), does not need to be reported and will be deemed to be pre-approved if the concurrent employment/paid appointment requires them to work no more than 20 hours per week and those hours are not scheduled during the employee’s normal working hours at the university.
 7. Members of the university’s board of governors (other than the board chair) need to report in writing any concurrent employment or appointment to the board chair but do not need to have any concurrent employment or appointment pre-approved. The board chair must review each report to determine if the concurrent employment or appointment creates an actual or perceived Conflict of Interest. The board chair needs to report in writing any concurrent employment or appointment to the Ethics Commissioner but does not need to have any concurrent employment or appointment pre-approved.
 8. Notwithstanding the above, the requirement for prior reporting and approval of concurrent employment and appointments applies if the concurrent employment or appointment gives rise to an actual or perceived Conflict of Interest.
 9. Notwithstanding the above, if there is a conflict between the provisions above and any collective agreement, the collective agreement prevails. The university will notify the Ethics Commissioner of any such conflict promptly after the university becomes aware of such conflict.

Gifts

The revisions to the gift provisions are summarized below:

1. The restrictions relating to gifts do not apply to gifts accepted by an individual on behalf of the university.
2. The restrictions relating to gifts apply to employees (academic and non-academic) and the members of the university’s board of governors or a committee of the Board of Governors, a member of the Senate or a member of the Board of Directors of the University Alumni Association (“volunteer appointees”).
3. The restrictions relating to gifts and event invitations apply to gifts and event invitations from third parties (that is, an individual or entity other than the university).
4. Generally, employees and volunteer appointees cannot accept gifts that are connected directly or indirectly with the performance of their university responsibilities or their university position other than:
 - a) the normal exchange of gifts between friends;
 - b) the normal exchange of hospitality between persons doing business together;

- c) tokens exchanged as part of protocol;
- d) the normal presentation of gifts to persons participating in public functions, awards, speeches, lectures, presentations or seminars.

The value of a single tangible gift permitted by this #4 cannot exceed \$250. The cumulative maximum cash value limit for tangible gifts permitted by this #4 from a single source in a calendar year is \$500.

5. Employees and volunteer appointees can accept a single event invitation if the value is \$500 or less. The cumulative maximum cash value limit for event invitations permitted by this #5 from a single source in a calendar year is \$500.
6. The board chair, president, vice-presidents, General Counsel, associate/assistant vice-presidents, vice-provosts and deans (collectively, "senior administrators") can accept a single event invitation from a donor or friend of the university if the value is \$1000 or less. The cumulative maximum cash value limit for event invitations permitted by this #6 from a single source in a calendar year is \$2000.
7. #5 and #6 above do not apply to attendance at social events if attendance at the social event is sponsored by a charitable foundation, the Governor General of Canada, a provincial Lieutenant Governor, any Canadian federal, provincial, municipal or regional government or any member of any such government, a consul or ambassador of a foreign country or a not-for-profit organization, provided the not-for-profit organization is not constituted to serve management, union or professional interests and does not have for-profit enterprises or representatives of for-profit enterprises as a majority of its members.
8. If an employee or volunteer appointee accepts an invitation to speak, or participate on a panel, at a conference, seminar, workshop or similar event (a "Conference Invitation") and their speech or participation relates to their university responsibilities or their major academic interests, the total value of the transportation costs, registration fees, accommodation, meals and related incidentals which may be gifted to them in connection with the Conference Invitation cannot not exceed \$8,000. The cumulative maximum cash value limit for of such items permitted by this #8 from a single source in a calendar year is \$16,000.
9. A non-academic employee or a volunteer appointee may seek advice from their ELT manager regarding the non-academic employee's or volunteer appointee's obligations under #4 to #8 above with respect to a specific gift, event or Conference Invitation. An academic employee may seek advice from their dean regarding the academic employee's obligations under #4 to #8 above with respect to a specific gift, event or Conference Invitation and may ask their ELT manager to confirm such advice.

A non-academic employee, an academic employee and a volunteer appointee may request that their ELT manager increase the dollar limits in #4 to # 8 above with respect to a specific gift, event or Conference Invitation.

The ELT manager or dean must act reasonably and in the best interests of the university in providing or confirming such advice and/or increasing such dollar limits and must consider whether

there is an actual or perceived Conflict of Interest. The ELT manager or dean must respond in writing.

The non-academic employee, academic employee and volunteer appointee will be deemed to have complied with #4 to #8 above with respect to the specific gift, event or Conference Invitation if they comply with their ELT manager's written advice or confirmation of advice and/or new dollar limits.

10. Notwithstanding the above, an employee or volunteer appointee may not accept a gift, an event invitation or any gift of transportation costs, registration fees, accommodation, meals or related incidentals in connection with a Conference Invitation if the acceptance of any of the foregoing gives rise to an actual or perceived Conflict of Interest.

NEXT STEPS

The attached version of the Code of Conduct goes to the Human Resources and Governance Committee (HRGC) on March 1, 2019. If the HRGC recommends approval, then the attached version of the Code goes to the Board of Governors for approval on March 22, 2019.

SUPPORTING MATERIALS

1. Blacklined copy of the revised University Code of Conduct (showing all the changes made to the August 16 draft of the Code)
2. Clean copy of the revised University Code of Conduct

Code of Conduct

Classification Human Resources	Table of Contents 1 Purpose 1 2 Scope 1 3 Definitions..... 1 4 Policy Statement..... 6 General6 Compliance with Laws and Policies.....6 Conflicts of Interest7 Concurrent Employment7 Supervising Related Persons9 Conflicts of Commitment and Outside Professional Activity9 Gifts10 Use of University Resources12 Presidential Obligations13 Reporting Wrongdoing14 Reprisals15 5 Responsibilities 15 6 O.P.A 16 7 Procedure for Protected Disclosure 19 8 Appendices 19 9 Related Policies 20 10 Related Procedures..... 20 11 Related Instructions/Forms 20 12 Related Operating Standards..... 20 13 Related Information..... 20 14 References 20 15 History..... 20
Approval Authority Board of Governors	
Implementation Authority President	
Effective Date	
Last Revision	

- 1 Purpose** The University’s mission of teaching, research and service to community requires a shared commitment to the core values of the University as well as a commitment to conduct University activities ethically.

The purpose of this policy is to communicate the University’s expectations with respect to the behaviour of Employees (which includes Postdoctoral Scholars), Academic Staff Members, Appointees, Students and Volunteer Appointees.
- 2 Scope** This policy applies to Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees.
- 3 Definitions** In this policy

- a) “Academic Staff Member” means an individual who is engaged to work for the University and is identified as an Academic Staff Member under Article 1 of the applicable Collective Agreement.
- b) “Appointee” means an individual who is engaged to work for the University, or whose work is affiliated with the University, through a letter of appointment, including adjunct faculty, clinical appointments, visiting researchers and scholars.
- c) “Collective Agreement” means any collective agreement between the Governors of the University of Calgary and (i) the Faculty Association of the University of Calgary, (ii) the Alberta Union of Public Employees, ~~or (iii) the Graduate Students’ Association of the University of Calgary or (iv)~~ any other association or union representing Employees, in each case, in effect at the relevant time.
- d) A “Conflict of Commitment” exists when ~~the outside an Employee’s~~ employment with an individual or organization (other than the University) or activities ~~of an Employee~~ adversely affects their ~~capacity~~ability to fulfill their University responsibilities.
- e) A “Conflict of Interest” exists when, in the course of carrying out their University responsibilities, an individual takes any action where they know or ought to know that the action may result in ~~a real~~an actual or perceived Private Benefit to them or to a Related Person or Related Entity, including:
 - i. the individual takes part in a decision in the course of carrying out their University responsibilities, where they know or ought to know that the decision may result in ~~a real~~an actual or perceived Private Benefit to them or to a Related Person or Related Entity; or
 - ii. the individual uses their position with the University to influence or seek to influence a University decision which they know or ought to know may result in ~~a real~~an actual or perceived Private Benefit to them or to a Related Person or Related Entity; or
 - iii. the individual communicates information that they know or ought to know is not available to the general public and is obtained by the individual in the course of carrying out their University responsibilities or as a result of their University position in order to obtain or seek to obtain a Private Benefit for the individual or for a Related Person or Related Entity.
- f) “ELT Manager” means:
 - i. for the President, the chair of the University’s Board of Governors;
 - ii. for an ELT Member other than the President, the President;
 - iii. for an Academic Staff Member, Appointee or ~~other~~-Employee of the University of Calgary, (other than the President or an ELT Member), the

- ELT Member who has management responsibility for the faculty, department or unit of which the Academic Staff Member, Appointee or other Employee is a member;
- iv. for an Employee of a subsidiary of the University, the ELT Member who has management responsibility for the subsidiary; ~~and~~
~~v. for a~~for the chair of the University's Board of Governors, the chair of the Audit Committee of the University's Board of Governors; and
~~vi. for any other~~ Volunteer Appointee, the chair of the University's Board of Governors, committee of the Board, Senate or University Alumni Board of Directors, as applicable.
- g) "ELT Member" means an Employee who, at the relevant time, is designated as a member of the Executive Leadership Team.
- h) "Employee" means an individual, other than an Academic Staff Member or Appointee, who is engaged to work for the University under an employment contract. For clarity, Employees includes Postdoctoral Scholars who are Employees engaged to work for the University under an employment contract.
- i) "Interference" means any direct or indirect action or use of authority to obstruct an individual's right to make a Protected Disclosure.
- j) "Manager" means:
- i. for the President, the chair of the University's Board of Governors;
 - ii. for an Academic Staff Member, Appointee or Employee of the University of Calgary (other than the President), the SLT Member who has management responsibility for the faculty, department or unit of which the Academic Staff Member, Appointee or other Employee is a member;
 - iii. for an Employee (other than the chief executive officer) of a subsidiary of the University, the chief executive officer of the subsidiary;
 - iv. for the chief executive officer of ~~the~~ subsidiary of the University, the SLT Member who has management responsibility for the subsidiary; ~~and~~
~~v. for a~~for the chair of the University's Board of Governors, the chair of the Audit Committee of the University's Board of Governors; and
~~vi. for any other~~ Volunteer Appointee, the chair of the University's Board of Governors, committee of the Board, Senate or University Alumni Board of Directors, as applicable.
- k) "Outside Professional Activity" and "O.P.A." have the meaning given to such terms in section 6.1 below.
- l) "Postdoctoral Scholar" means an individual who has completed a doctoral degree and is carrying out research at the University under the direction or mentorship of a supervising faculty member.

- m) "President" means the president of the University of Calgary.
- n) "Private Benefit" means a financial benefit, a personal benefit or furthering a private interest (and includes the avoidance of a negative consequence) other than a financial benefit, a personal benefit or a private interest that:
 - i. is of general application;
 - ii. affects a person as a member of a ~~group~~, broad class, such as Academic Staff Members; or
 - iii. is inconsequential.
- o) "Protected Disclosure" means a disclosure made in good faith by an Employee, Academic Staff Member, Appointee, Student or Volunteer Appointee concerning an actual or perceived Wrongdoing.
- p) "Related Entity" means:
 - i. a public corporation of which the individual is a director or officer or the beneficial owner of more than 5% of the outstanding shares of any class;
 - ii. a 'for-profit' private corporation of which the individual is a director or officer;
 - iii. a 'for-profit' private corporation of which the individual is the beneficial owner of shares in the corporation, except:
 - 1. an association as defined in the Co-operatives Associations Act;
 - 2. a credit union incorporated under the Credit Union Act;
 - 3. a co-operative credit society incorporated by or under an Act of the parliament of Canada; or
 - 4. the United Farmers of Alberta Cooperative Limited;
 - iv. a non-profit corporation or an association of which the individual is a director or officer; and
 - v. a partnership of which the individual is a partner or of which one of the partners is a Related Entity of the individual by reason of clause (i),(ii), (iii) or (iv) above.
- q) "Related Person" means an individual who is directly associated with another individual and includes:
 - i. a parent, sibling and child of the individual;
 - ii. a spouse or domestic partner of the individual; and
 - iii. any other person who is directly associated with ~~an~~the individual.
- r) "Reprisal" means Retaliatory Measures that are taken against an individual because they have sought advice about making a disclosure of Wrongdoing, made a disclosure of Wrongdoing in good faith, co-operated in an investigation of Wrongdoing, or declined to participate in a Wrongdoing.

- s) Retaliatory Measures include:
- i. a dismissal, layoff, suspension, demotion or transfer, discontinuation or elimination of a job, change of job location, reduction in wages, change in hours of work or reprimand;
 - ii. any other act that adversely affects the employment, working conditions, or education of the individual; ~~and~~
 - iii. a threat to do any of the above.
- t) "SLT Member" means an Employee who, at the relevant time, is designated as a member of the Senior Leadership Team.
- u) "Specified Professional Association" means a professional association, approved by the President or their delegate, which has a code of conduct, can discipline its members for breach of its code of conduct, and is listed in Appendix A as amended from time to time and approved by the Ethics Commissioner.
- v) "Student" means an individual registered in a University course or program of study.
- w) "University" means the University of Calgary and its subsidiaries.
- x) "University Resources" means the tangible and intangible assets of the University.
- y) "Volunteer Appointee" means a member of the University's Board of Governors or a committee of the Board of Governors, a member of the Senate or a member of the Board of Directors of the University Alumni Association.
- z) "Wrongdoing" means:
- i. a contravention of an Act of Parliament or of the legislature of Alberta, or of any regulations made under any such Act;
 - ii. an act or omission that creates:
 1. a substantial and specific danger to the life, health or safety of individuals other than a danger that is inherent in the performance of the duties or functions of an Employee, Academic Staff Member or Appointee; or
 2. a substantial and specific danger to the environment.
 - iii. gross mismanagement of public funds or a public asset;
 - iv. a contravention of University policies;
 - v. knowingly directing or counseling an individual to commit a Wrongdoing mentioned in clauses (i) to (iv);
 - vi. Interference; and
 - vii. Reprisal.

4 Policy Statement

General

- 4.1** The University endeavours to create and maintain a positive and productive learning, working and living environment; an environment in which there is:
- a) respect for the dignity of all;
 - b) fair treatment of individuals;
 - c) respect for academic freedom; and
 - d) respect for University Resources and the property of individuals.
- 4.2** When representing the University, Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees are required to act:
- a) ethically, honestly and with integrity; and
 - b) in accordance with the principles of fairness, good faith, and respect.
- 4.3** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees are responsible to the University for their actions and their decisions not to act when they are representing the University.
- Note: This section is not intended to limit the academic freedom of an Academic Staff Member or Appointee.
- 4.4** Employees, Academic Staff Members, Appointees and Volunteer Appointees are required to conduct themselves impartially in fulfilling their University responsibilities. This means they must comply with section 4.2 and the other provisions of this policy.
- Note: This section is not intended to limit the academic freedom of an Academic Staff Member or Appointee.

Compliance with Laws and Policies

- 4.5** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees are required to fulfill their University responsibilities in compliance with applicable laws, and applicable University policies and procedures and in accordance with contractual commitments.
- 4.6** For greater certainty, Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees who have access to information which is confidential, proprietary, or personal are required to be familiar and to comply with laws and University policies and procedures pertaining to access, use, modification, protection, and disclosure of such information.
- 4.7** In some cases Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees are governed by ethical codes or standards of their professions or disciplines. Employees, Academic Staff, Appointees, Students and Volunteer Appointees are required to conduct their professional activities and their activities related to their discipline in compliance with all applicable codes and standards of their profession or discipline.

Conflicts of Interest

- 4.8** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees must not act in self-interest or further their private interests by virtue of their position at the University or through fulfilling their University responsibilities. They are required to disclose in writing, in accordance with the Procedure for Conflict of Interest, any actual, potential or perceived Conflict of Interest. The Procedure for Conflict of Interest is set out in Appendix **AB**, which forms part of this policy.
- 4.9** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees must not take part in a decision if doing so would result in a Conflict of Interest.
- 4.10** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees must not use their position with the University to influence or seek to influence a University decision if doing so would result in a Conflict of Interest.

4.11 Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees must not use or communicate information that is not available to the public and that is obtained in the course of carrying out their University responsibilities or as a result of their University position in order to obtain or seek to obtain a Private Benefit for themselves or for a Related Person or Related Entity.

Note: This section is not intended to interfere with the exercise of an individual's rights under the Intellectual Property Policy.

~~Employees, Academic Staff Members, Appointees~~ **Concurrent Employment**

4.12 ~~The requirements for prior reporting and~~ Volunteer Appointees must not accept any supplementary approval of concurrent employment or appointment that gives rise to appointments set out in sections 4.14 to 4.22 do not apply to the President.

~~4.14.13~~ The requirements for prior reporting and approval of concurrent appointments set out in section 4.14 only apply to concurrent appointments for which the Employee (including a Student in their role as an actual Employee), Academic Staff Member, Appointee or perceived Conflict of Interest Volunteer Appointee receives or is entitled to receive remuneration.

~~Prior~~

~~4.14.14~~ Subject to sections 4.15 to 4.22, prior to accepting any supplementary concurrent employment or appointment, an Employee, (including a Student in their role as an Employee), Academic Staff Member, Appointee or Volunteer Appointee must disclose the supplementary concurrent employment or appointment to their Manager in writing, in accordance with the Procedure for Conflict of Interest. In accordance with the Procedure for Conflict of Interest, their Manager must review the proposed supplementary concurrent employment or

appointment to determine if it gives rise to an actual or perceived Conflict of Interest.

If the Manager determines that it does not give rise to an actual or perceived Conflict of Interest, the Manager must approve the ~~supplementary~~ concurrent employment or appointment in writing.

If the Manager determines that it does give rise to an actual or perceived Conflict of Interest, then the Manager must, in accordance with the ~~procedure~~ Procedure for Conflict of Interest, put an appropriate plan in place to manage the Conflict of Interest.

If the Manager determines that the Conflict of Interest cannot be appropriately managed, then the Employee, Academic Staff Member, Appointee or Volunteer Appointee must take steps to eliminate the actual or perceived Conflict of Interest and the steps taken to do so must be documented and agreed to by the Manager.

4.15 If an Employee, Academic Staff Member or Appointee receives income through a research grant, the research work is considered concurrent employment. If the research grant is administered through the University, the research work does not need to be reported and will be deemed to have been pre-approved; if not, it must be reported and approved in accordance with section 4.14.

4.16 Any concurrent employment and any paid appointment of a Student who is an Employee does not need to be reported and will be deemed to have been pre-approved if the concurrent employment or paid appointment is in the retail, hospitality or service industries.

4.17 Any concurrent employment and any paid appointment of an Academic Staff Member or Appointee who does not hold a full-time position at the University does not need to be reported and will be deemed to have been pre-approved if:

- a) their position at the university is unpaid;
- b) their concurrent employment or appointment is with another post-secondary institution;
- c) they teach no more than two courses a semester at the University; or
- d) their concurrent employment or appointment requires them to be a member of a Specified Professional Association.

4.18 If the University knows, at the time an Academic Staff Member or Appointee is hired or appointed to a full-time or part-time position at the University, that the Academic Staff Member or Appointee is being concurrently or jointly hired or appointed to a position at another organization or holds a position at another organization, their position at the other organization will be deemed to have been reported and pre-approved.

4.19 Any concurrent employment and any paid appointment of an Employee (other than a Student who is an Employee), does not need to be reported and will be deemed to have been pre-approved if the concurrent employment or paid

appointment requires them to work no more than 20 hours per week and those hours are not scheduled during the Employee's normal working hours at the University.

4.20 Members of the University's Board of Governors (other than the Board chair) need to report in writing any concurrent employment or appointment to the Board chair but do not need to have any concurrent employment or appointment pre-approved. The Board chair must review each report to determine if the concurrent employment or appointment creates an actual or perceived Conflict of Interest. The Board chair needs to report in writing any concurrent employment or appointment to the Ethics Commissioner but does not need to have any concurrent employment or appointment pre-approved.

4.21 Notwithstanding sections 4.15 to 4.20, the requirement for prior reporting and approval of concurrent employment and appointments applies if the concurrent employment or appointment gives rise to an actual or perceived Conflict of Interest.

4.22 Notwithstanding sections 4.14 to 4.21, if there is a conflict between the provisions of sections 4.14 to 4.21 and any Collective Agreement, the Collective Agreement prevails. The University will notify the Ethics Commissioner of any such conflict promptly after the University becomes aware of such conflict.

~~4.131.1 Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees must not use or communicate information that is not available to the public and that is obtained in the course of carrying out their University responsibilities or as a result of their University position in order to obtain or seek to obtain a Private Benefit for themselves or for a Related Person or Related Entity.
Note: This section is not intended to interfere with the exercise of an individual's rights under the Intellectual Property Policy.~~

Supervising Related Persons

~~4.144.23~~ An Employee, Academic Staff Member or Appointee must not supervise a Related Person.

~~4.154.24~~ Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees must not be involved in the recruitment, selection, or review of a Related Person.

Conflicts of Commitment and Outside Professional Activity

~~4.164.25~~ When an Employee or Appointee, other than the President, intends to engage in any activity that may give rise to a Conflict of Commitment, the

Employee or Appointee must disclose the activity to their Manager and obtain their Manager's written approval prior to engaging in the activity. A Manager will not approve engaging in the activity unless the Manager is satisfied, acting reasonably, that the Employee or Appointee will be able to devote sufficient time and energy to effectively fulfill their University responsibilities while engaging in the activity.

4.174.26 An Academic Staff Member may only engage in major Outside Professional Activity which complies with the provisions in sections 6.1 to 6.27 below. However, sections 6.1 to 6.27 do not replace or supersede the provisions of Article 13 of the Collective Agreement with the Faculty Association of the University of Calgary. Consequently, if there is a conflict between sections 6.1 to 6.27 and Article 13 of the Collective Agreement, the Collective Agreement governs to the extent necessary to resolve the conflict.

Gifts

4.27 ~~Section 4.28 does not apply to gifts accepted by an Employee, Academic Staff Member, Appointee or Volunteer Appointee on behalf of the University. Sections 4.28 and 4.29 do not apply to gifts or event invitations to an Employee, Academic Staff Member, Appointee or Volunteer Appointee from the University.~~

4.184.28 Employees, Academic Staff Members, Appointees and Volunteer Appointees must not accept gifts that are connected directly or indirectly with the performance of their University responsibilities or their University position, from any individual, ~~or organization or corporation (except the University),~~ other than:

- a) the normal exchange of gifts between friends;
- b) the normal exchange of hospitality between persons doing business together;
- c) tokens exchanged as part of protocol;
- d) the normal presentation of gifts to persons participating in public functions, awards, speeches, lectures, presentations or seminars.

Acceptance of cash or cash equivalents as gifts is always strictly prohibited.

The value of a single tangible gift permitted by this section shall not exceed ~~\$200~~250. The cumulative maximum cash value limit for tangible gifts permitted by this section from a single source in a calendar year is ~~\$400~~500.

4.194.29 Subject to ~~sections~~section 4.21 and 4.22~~30~~, for any Employee, Academic Staff Member, Appointee or Volunteer Appointee the value of a single event invitation permitted by this section shall not exceed \$500. The cumulative maximum cash value limit for event invitations permitted by this section from a single source in a calendar year is ~~\$1,000~~500.

4.204.30 ~~Subject to section 4.22, for the President only~~For the chair of the University's Board of Governors, the President, a Vice-President, General Counsel, Assistant Vice-President, Vice-Provost and dean, the value of a single event invitation permitted by this section from a donor or friend of the University shall not exceed \$1,000, and the cumulative maximum cash value limit for event

invitations permitted by this section from a single donor or friend of the ~~agency~~University in a calendar year is \$2,000.

~~4.31~~ 4.31 Sections 4.29 and 4.30 do not apply to attendance at social events if attendance at the social event is sponsored by a charitable foundation, the Governor General of Canada, a provincial Lieutenant Governor, any Canadian federal, provincial, municipal or regional government or any member of any such government, a consul or ambassador of a foreign country or a not-for-profit organization, provided the not-for-profit organization is not constituted to serve management, union or professional interests and does not have for-profit enterprises or representatives of for-profit enterprises as a majority of its members.

~~4.214.32~~ 4.214.32 If an Employee, Academic Staff Member, Appointee or Volunteer Appointee accepts an invitation to speak, or participate in a panel, at a conference, seminar, workshop or similar event (a "Conference Invitation") and their speech or participation relates to their University responsibilities or their major academic interests, the total value of the transportation costs, registration fees, accommodation, meals and related incidentals which may be gifted to them in connection with the Conference Invitation shall not exceed \$8,000. The cumulative maximum cash value limit for of such items permitted by this section from a single source in a calendar year is \$16,000.

~~1.1~~ Sections 4.20 and 4.21 do not apply to attendance at social events if attendance at the social event is sponsored by a charitable foundation, the Governor General of Canada, a provincial Lieutenant Governor, any Canadian federal, provincial, municipal or regional government or any member of any such government, a consul or ambassador of a foreign country or a not for profit organization, provided the not for profit organization is not constituted to serve management, union or professional interests and does not have for profit enterprises or representatives of for profit enterprises as a majority of its members.

~~4.224.33~~ 4.224.33 An Employee, ~~Academic Staff Member, Appointee~~ or Volunteer Appointee may request that their ELT Manager provide advice relating to the Employee's, ~~Academic Staff Member's, Appointee's~~ or Volunteer Appointee's obligations under sections ~~4.1928, 4.2029, 4.21-30, 4.31 and/or 4.2232~~ with respect to a specific gift, event or an increase in the dollar limits set out in those sections~~Conference Invitation~~.

An Academic Staff Member or Appointee may request that their Manager provide advice relating to the Academic Staff Member's or Appointee's obligations under sections 4.28, 4.29, 4.30, 4.31 and/or 4.32 with respect to a specific gift, event or Conference Invitation and then may request that their ELT Manager confirm such advice.

An Employee, Academic Staff Member, Appointee or Volunteer Appointee may request that their ELT Manager approve an increase in the dollar limits set out in sections 4.28, 4.29, 4.30, 4.31 and/or 4.32 with respect to a specific gift, event or Conference Invitation.

~~4.234.34~~ The Employee, Academic Staff Member, Appointee or Volunteer Appointee must provide their ELT Manager or their Manager, as applicable, with all material information relating to a request under section 4.2433.

~~4.35~~ The ELT Manager may, in writing, provide the Employee, ~~Academic Staff Member, Appointee~~ or Volunteer Appointee with advice relating to sections 4.1928, 4.2029, 4.2130, 4.31 and/or 4.22 ~~or an increase in~~ 32 for the dollar limits set out in those sections-specific gift, event or Conference Invitation.

~~The ELT Manager-Manager may, in writing, provide the Academic Staff Member or Appointee with advice relating to sections 4.28, 4.29, 4.30, 4.31 and/or 4.32 for the specific gift, event or Conference Invitation and the ELT Manager may, in writing, confirm such advice.~~

~~The ELT Manager may, in writing, provide the Employee, Academic Staff Member, Appointee or Volunteer Appointee with an approval of an increase in the dollar limits set out in sections 4.28, 4.29, 4.30, 4.31 and/or 4.32 with respect to a specific gift, event or Conference Invitation~~

~~The ELT Manager or Manager, as applicable,~~ must act reasonably and in the best interests of the University in providing such advice or confirmation of such advice and ~~shall only/or approving an~~ increase in such dollar limits ~~in exceptional circumstances and in accordance with the principles of this policy.~~ must consider whether there is an actual or perceived Conflict of Interest.

~~4.244.36~~ The Employee, Academic Staff Member, Appointee or Volunteer Appointee will be deemed to have complied with sections 4.1928, 4.2029, 4.2130, 4.31 and/or 4.2232 for the specific gift, event or Conference Invitation if they comply with their ELT Manager's prior written advice or confirmation of their Manager's advice, as applicable, and/or their ELT Manager's prior written approval of new dollar limits.

~~4.37~~ Notwithstanding sections 4.28 to 4.32, an Employee, Academic Staff Member, Appointee or Volunteer Appointee may not accept a gift, an event invitation or any gift of transportation costs, registration fees, accommodation, meals or related incidentals in connection with a Conference Invitation if the acceptance of any of the foregoing gives rise to an actual or perceived Conflict of Interest.

Use of University Resources

~~4.254.38~~ Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees may only use University Resources for activities on behalf of the University and within their scope of responsibility.

~~4.264.39~~ Notwithstanding 4.2838, University Resources may be used for personal purposes in limited circumstances when permitted by an existing policy or where incidental personal use is reasonable in all of the circumstances.

~~4.274.40~~ Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees are required to treat University Resources with care and to

adhere to laws and University policies and procedures regarding the acquisition, use, maintenance, documentation and disposal of University Resources.

Presidential Obligations

~~4.284.41~~ In addition to their obligations under section 4.10, the President must not use their office or powers to influence or seek to influence a decision to be made by or on behalf of the Crown in right of Alberta, a provincial agency or the University in order to further their own private interests or to improperly further ~~their own or~~ any other person's private interest.

~~4.294.42~~ In addition to their obligations under section 4.1411, the President must not use or communicate information that is not available to the general public and is gained in the course of carrying out their office or powers to further or seek to further their own or any other person's private interest.

~~4.304.43~~ The President must apply to the chair of the University's Board of Governors and the Ethics Commissioner of Alberta for written approval prior to becoming involved in any appointment, business, undertaking or employment, including self-employment, other than their employment as President. The President must comply with any conditions that the chair and/or the Ethics Commissioner imposes in connection with such approval.

~~This section applies immediately to any individual who becomes President after December 15, 2017.~~

~~With respect to any individual who was the President on December 15, 2017, this section applies on the earlier of: (i) December 15, 2019, and (ii) the date their presidential contract is revised.~~

~~4.314.44~~ The President must request that the Ethics Commissioner review and confirm any advice or increase in dollar limits the President receives from their ELT Manager pursuant to section 4.2635 and must receive the Ethics Commissioner's written confirmation before section 4.2736 applies to the President.

~~4.324.45~~ As set out in section 23.93 of the Conflicts of Interest Act, the President must not own or hold a beneficial interest in publicly-traded securities unless held in a blind trust or investment arrangement approved by the Ethics Commissioner or the Ethics Commissioner grants prior approval of the retention of the ownership or beneficial interest. Approvals must be granted in writing by the Ethics Commissioner.

~~This section applies immediately to any individual who becomes President after December 15, 2017.~~

~~With respect to any individual who was the President on December 15, 2017, this section applies on the earlier of: (i) December 15, 2019, and (ii) the date their presidential contract is revised.~~

~~4.334.46~~ Publicly-traded securities must be managed within 60 days of the individual becoming the President, section 23.93 of the Conflicts of Interest Act

becoming applicable to the President, or the President's acquisition of publicly-traded securities by gift or inheritance. The Ethics Commissioner may set out a longer period.

4.344.47 Each year at a time specified by the Ethics Commissioner, the President must provide to the Ethics Commissioner a disclosure statement of the assets, liabilities, investments and financial interest of the President, the President's spouse or adult interdependent partner, the President's minor children, and any private corporation controlled by the President, the President's spouse or adult interdependent partner, the President's minor children, or any combination thereof.

4.354.48 The President also must provide a return relating to persons directly associated to the Ethics Commissioner within 60 days of becoming the President or of section 23.932 of the Conflicts of Interest Act becoming applicable to the President.

4.364.49 The President must file an updated disclosure statement or return relating to persons directly associated within 30 days of any material changes to a previous disclosure statement or return relating to persons directly associated. The President also must file an updated return relating to persons directly associated within 30 days of ceasing to be the President.

4.374.50 As required by s. 23.937 of the Conflicts of Interest Act, for 12 months after the last day they hold their position as President, the President:

- a) must not lobby any public office holder, as defined in the Lobbyists Act;
- b) must not act on a commercial basis or make representations on behalf of any party in connection with any ongoing matter in connection with which the President directly acted for or advised a department or public agency ;
- c) must not make representations with respect to or solicit or accept on their own behalf a contract or benefit from a department or public agency with which the President had a direct and significant official dealing; and
- d) must not accept employment with an individual, organization, board of directors, or equivalent body of an organization with which the President had direct and significant official dealing.

The President may apply to the Ethics Commissioner for a waiver or reduction of the time period applicable to these restrictions.

~~This section applies immediately to any individual who becomes President after December 15, 2017.~~

~~With respect to any individual who was the President on December 15, 2017, this section applies on the earlier of: (i) December 15, 2019, and (ii) the date their presidential contract is revised.~~

Reporting Wrongdoing

4.384.51 Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees may disclose known or suspected Wrongdoing to the

Protected Disclosure Advisor or an independent party in accordance with the Procedure for Protected Disclosures. The Procedure for Protected Disclosures is set out in Appendix [BC](#).

[4.394.52](#) An Employee, Academic Staff Member, Appointee, Student or Volunteer Appointee who is found to have made a frivolous or vexatious report of Wrongdoing may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Disciplinary action will be taken in accordance with the provisions of any applicable Collective Agreement or any applicable policy relating to Student conduct.

[4.404.53](#) An Employee, Academic Staff Member, Appointee, Student or Volunteer Appointee who is found to have committed a Wrongdoing may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Disciplinary action will be taken in accordance with the provisions of any applicable Collective Agreement or any applicable policy relating to Student conduct.

Reprisals

[4.414.54](#) Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees will not take any action in Reprisal against another individual.

[4.424.55](#) An individual who believes they may be the subject of a Reprisal may notify the Protected Disclosure Advisor in accordance with the Procedure for Protected Disclosures.

5 Responsibilities

5.1 General Counsel will:

- a) provide legal advice on matters relating to the application of this policy; and
- b) review this policy at least once every three years and, if deemed appropriate, will propose revisions to this policy in accordance with the Procedures for Developing University Policies and Procedures.

5.2 Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees will:

- a) be familiar with this policy and act in accordance with it;
- b) be knowledgeable about the resources available to assist in the resolution of questions and concerns about this policy; and
- c) be knowledgeable about the process available to assist in the reporting of Wrongdoing.

5.3 Managers will:

- a) encourage Employees, Academic Staff Members and Appointees reporting to them to become familiar with this policy;
- b) fulfill their responsibilities under section 4.14 in a timely manner

- b)c) direct allegations of Wrongdoing to the Protected Disclosure Advisor;
- e)d) maintain an environment that encourages communication, free of the fear of Reprisal, concerning compliance with this policy; and
- e)e) review an Employee's request to engage in any activity that may give rise to a Conflict of Commitment and, in a timely manner, inform the Employee in writing if their request has been approved or ~~disapproved~~not.

- 5.4 ELT Managers will provide a written response to a request made under section 4.2433 in a timely manner.
- 5.5 Protected Disclosure Advisor will:
 - a) respond to inquiries / questions about making a disclosure of Wrongdoing; and
 - b) receive reports of Wrongdoing and coordinate the University's response in accordance with the Procedure for Protected Disclosures.

6 O.P.A

- 6.1 "Outside Professional Activity" (O.P.A.) refers to those activities which the Academic Staff Member performs as a community service unless otherwise contractually arranged with the Governors or those for which the Academic Staff Member may receive remuneration.

O.P.A. is normally restricted to activities associated with the Academic Staff Member's major academic interests as an employee of the Governors.
- 6.2 The Governors of the University of Calgary (the "Governors") acknowledge the importance of O.P.A. to the professional development of Academic Staff Members and to the exercise of their University responsibilities. In recognition that O.P.A. offers valuable opportunities to enrich teaching and research, and to share the knowledge, skills, know-how and other resources of the institution with the community at large, the Governors encourage the involvement of Academic Staff Members in O.P.A.
- 6.3 O.P.A. must not detract from or interfere with the staff member's ability to render full service to the University in other areas of responsibility. Responsibility for ensuring compliance with this requirement rests with the Dean of the Faculty concerned.
- 6.4 The Governors expect Academic Staff Members will adhere to high standards of professional conduct and ethics. Academic Staff Members shall not use the University, its resources or the privileges of their appointment to compete unfairly with professionals outside the University.
- 6.5 An Academic Staff Member shall disclose in advance to the Dean, or Department Head if delegated, all proposed major O.P.A. The Academic Staff Member shall further disclose annually a record of all O.P.A. including a specific accounting of the time commitment as may be stipulated under Faculty guidelines.
- 6.6 No Academic Staff Member shall be required to violate ethical requirements of the member's profession or such legal constraints as may apply including the

disclosure of the names of clients except as required pursuant to section 6.16 and 6.17.

- 6.7** The Academic Staff Member may, in the member's discretion, include the annual O.P.A. report in the Academic Performance Report to the President which is required under GPC procedures.
- 6.8** For the purposes of sections 6.1 to 6.27, major O.P.A. is defined to be any O.P.A. which involves any of the following:
- a) leave, as defined in Article 18 of the Collective Agreement: Leaves; or
 - b) the re-assignment or rescheduling of the Academic Staff Member's normal duties; or
 - c) the use of university space, resources, facilities, equipment, personnel; or
 - d) the employment of other Academic Staff Members, other employees of the University, or students qua students, under any form of contract of employment whatever; or
 - e) any O.P.A. which will occur during a period of leave pursuant to Articles 16, 17 or Article 18, Clause 18.4 of the Collective Agreement.
- 6.9** Compensation for O.P.A. authorized as part of the activities during a research and scholarship leave or professional fellowship leave shall not be considered "compensation" for the purposes of Article 16, Clause 16.19.1 or Article 17, Clause 17.11 of the Collective Agreement.
- 6.10** Compensation for O.P.A. authorized as part of the activities during an Assisted Study Leave shall not be considered "outside aid" for the purposes of Article 18, Clauses 18.4.10.1 and 18.4.10.2 of the Collective Agreement.
- 6.11** Documentation related to the disclosure of O.P.A. shall be treated with the strictest confidence and shall be made available only to those required to have access to such information pursuant to the provisions of sections 6.1 to 6.27.
- 6.12** Administrative decisions made by a Dean under the sections 6.1 to 6.27 shall be communicated to the Academic Staff Member in writing and shall state the reasons for each such decision.
- 6.13** The Parties recognize the need for flexibility at the Faculty and Department level in the development of appropriate O.P.A. guidelines relative to the legitimate interests of both the Governors and the individual Academic Staff Member. Towards this end, Faculty Councils or equivalent shall establish appropriate procedural guidelines consistent with sections 6.1 to 6.27. Deans have the responsibility to administer Faculty guidelines.
- 6.14** Faculty guidelines will normally include direction on the use of Faculty and Department resources, student participation, absences, reporting processes, and other matters as deemed appropriate from time to time. In addition to the requirement in section 6.5 a Faculty guideline may require prior disclosure of all O.P.A. Guidelines shall be subject to approval by the Provost and Vice-President (Academic).

- 6.15** A current copy of each guideline established pursuant to sections 6.12 and 6.13 shall be provided to the Faculty Association of the University of Calgary (the "Faculty Association") before such guideline shall come into effect.
- 6.16** Where faculties have not established guidelines pursuant to sections 6.12, 6.13, and 6.14, the Vice-President (Research) in consultation with the Provost and Vice-President (Academic) shall establish such guidelines. Such guidelines must conform to the requirements of sections 6.12, 6.13, and 6.14. Any such guidelines established may be replaced by guidelines subsequently developed by the Faculty Council pursuant to sections 6.12, 6.13, and 6.14.
- 6.17** An Academic Staff Member shall not engage in O.P.A. which creates or constitutes a conflict of interest in view of the Academic Staff Member's appointment to the academic staff of the University. In particular, Academic Staff Members shall disclose to the Dean all instances in which the Academic Staff Member has a significant interest in a business enterprise which does or proposes to do business with the University.
- 6.18** Should a Dean have reason to believe that an Academic Staff Member has or will have a conflict of interest with respect to a specific O.P.A., the Dean may request in writing that the Academic Staff Member respond in writing to specific questions, the answers to which are reasonably required to determine whether a conflict of interest exists or will exist. No such reasonable request shall be refused by the Academic Staff Member.
- 6.19** If the use of University resources is permitted for O.P.A., the requirements of applicable Governors policies and Faculty guidelines must be met and University ~~programmes~~programs shall have priority. Academic Staff Members who wish to use University resources for work on private commission or hire shall have a user's agreement with the Governors. Such agreement shall establish the terms of use, liability and indemnification, user fees and other related arrangements.
- 6.20** An Academic Staff Member who engages in O.P.A. shall covenant and agree to indemnify and hold harmless from and against any loss, injury or damage which the Governors may or could suffer arising in any way out of or in relation to such activity.
- 6.21** When engaged in O.P.A., Academic Staff Members shall not hold themselves to be agents of the University.
- 6.22** An Academic Staff Member may appeal decisions affecting O.P.A. only in accordance with the provisions of section 6.1 to 6.27.
- 6.23** Prior to initiating a formal appeal the Academic Staff Member shall meet with and seek to resolve the matter in discussion with the Dean or equivalent.
- 6.24** Should the matter fail to be resolved under section 6.22, the Academic Staff Member may appeal in writing to the Provost and Vice-President (Academic). At the request of either party a meeting shall be held in an attempt to resolve the matter.

- 6.25** If the matter is not resolved under section 6.23 a further appeal may be made to a panel of three members of the staff of the Governors holding academic appointments. Each of the Faculty Association and the Governors shall appoint one member to the panel. Together these two panel members shall jointly agree upon a third member, chosen from outside the Faculty in which the dispute arose, who shall be the Chair. No person shall serve on the panel if that person has been previously involved in the dispute. The panel may establish such procedures as it sees fit, subject only to the requirement that both the Governors and the Faculty Association are informed of the procedures at least five working days in advance of any hearing and that the procedures conform to the principles of natural justice and due process. The majority decision of the panel shall be final and binding on all parties.
- 6.26** If the original two appointees are unable to agree on a Chair within twenty (20) working days from the date the second nominee is appointed, the Chair will be selected by lot from a panel of seven senior staff members holding academic appointments. The panel shall be established annually, prior to July 1 by agreement of the President of the Faculty Association and the President of the Governors.
- 6.27** The Faculty Association shall have the right to have a representative present at steps of the appeal procedure pursuant to sections 6.23 and 6.24. The Faculty Association shall be notified at least five working days in advance of any meeting or hearing pursuant to these sections.

7 Procedure for Protected Disclosure

- 7.1** The Procedure for Protected Disclosures is set out in Appendix **BC**, which forms part of this policy. The procedure provides that alleged breaches of this policy and other alleged protected disclosures may be reported to any of the following:
- a) a manager, supervisor, or dean;
 - b) the [Protected Disclosure Advisor](#) Telephone: 403-220-4086 Email: disclose@ucalgary.ca
 - c) the President of the University; or
 - d) the external service provider established for this purpose ConfidenceLine (1-800-661-9675).
- 7.2** The Procedure for Protected Disclosures provides that the Protected Disclosure Advisor will determine if the protected disclosure should be referred to an alternate process, dismissed for a valid reason or investigated under the procedure. If it is investigated under the procedure, the Protected Disclosure Advisor will appoint an investigator (which may be a committee). The investigator will follow the principles of natural justice, which concern procedural fairness and ensure a fair decision is reached by an objective decision-maker.

8 Appendices

- [Appendix A – Specified Professional Associations](#)
- [Appendix B – Procedure for Conflict of Interest](#)
- [Appendix C – Procedure for Protected Disclosures](#)

9 Related Policies

- 10 Related Procedures** [Procedure for Conflict of Interest](#)
[Procedure for Managing the Employment of Related Persons](#)
Procedure for Protected Disclosures

11 Related Instructions/Forms

12 Related Operating Standards

- 13 Related Information** [Article 13 of the Collective Agreement](#)

- 14 References** [Alberta Public Agencies Governance Act](#)
Conflicts of Interest Act
[Public Interest Disclosure Act](#)

15 History This policy replaces the Code of Professional Ethics (1994); the Statement on Principles of Conduct (date unknown); the Conflict of Interest Policy (1987); the Board of University of Calgary Conflict of Interest Policy (2006); the Employment of Family Policy (1985); the Outside Professional Activity Policy (1985); and the Disclosure Protection Policy (2005).

Approved: December 3, 2014

Effective: January 1, ~~2016~~2015

Editorial Change: March 8, 2018 (definition of "Student")

Amended and published: **[insert date of first business day after Ethics Commissioner's approval]**

Effective: This policy becomes effective on April 30, 2019

Appendix A

Appendix A

Specified Professi



University Policy

Alberta Association of Architects

**University
Procedure**

Deleted Cells

Alberta Association of Landscape Architects

**Instructions/fo
rms**

Deleted Cells

Alberta College of Social Workers (ACSW)

Alberta Institute of Agrologists

Alberta Medical Association

Alberta Professional Planners Institute

Alberta Society of Professional Biologists

Alberta Teacher's Association

Alberta Urban Municipal Association

Alberta Veterinary Medical Association

American Geophysical Union

American Industrial Hygiene Association

American Psychological Association

Association for Applied Psychophysiology and Biofeedback

Association for Applied Sport Psychology

Association of Change management Professionals

Association of Professional Engineers and Geoscientists of Alberta (APEGA)

Association of Science & Engineering Technology Professionals of Alberta

Association of the Chemical Profession of Alberta

Barreau du Québec

Board of Canadian Registered Safety Professionals

Canadian Association of Information Technology Professionals

Canadian Association of Physicists

Canadian Athletic Therapists Association

Canadian Bar Association

Canadian Registration Board of Occupational Hygienists

Canadian Institute of Actuaries

Canadian Institute of Management

Canadian Institute of Planners

Canadian Institute of Quantity Surveyors

[Canadian Medical Protective Agency \(CMPA\)](#)

[Canadian Physiotherapy Association](#)

[Canadian Professionals in Human Resources Alberta](#)

[Canadian Psychological Association](#)

[Canadian Society of Safety Engineering](#)

[Chambre des notaires du Québec](#)

[Chartered Financial Analysts Institute](#)

[Chartered Professional Accountants of Alberta](#)

[Chartered Professional Accountants of Canada](#)

[College and Association of Registered Nurses of Alberta \(CARNA\)](#)

[College of Alberta Psychologists](#)

[College of Alberta School Superintendents](#)

[College of Dietitians of Alberta](#)

[College of Physicians and Surgeons of Alberta \(CPSA\)](#)

[EcoCanada](#)

[Global Association of Risk Professionals \(GARP\)](#)

[Human Resources Institute of Alberta](#)

[International Institute of Business Analysts](#)

[International Society for Neurofeedback and Research](#)

[Law Society of Alberta](#)

[Law Society of British Columbia](#)

[Law Society of Manitoba](#)

[Law Society of New Brunswick](#)

[Law Society of Newfoundland and Labrador](#)

[Law Society of Nunavut](#)

[Law Society of Ontario](#)

[Law Society of Prince Edward Island](#)

[Law Society of Saskatchewan](#)

[Law Society of the Northwest Territories](#)

[Law Society of Yukon](#)

[Local Government Administrators Association](#)

[Nova Scotia Barristers' Society](#)

[Professional Risk Managers' international Association](#)

[Project Management Institute \(PMI\)](#)

[Project Management Professional](#)

[Royal College of Physician and Surgeons of Canada \(RCPSC\)](#)

[Society of Actuaries](#)

[Statistical Society of Canada](#)

[Supply Chain Management Association \(SCMA\)](#)

Code of Conduct

Appendix B

University Policy
University Procedure
Instructions/Forms

Procedure for Conflict of Interest

Classification Human Resources	Table of Contents	
	Purpose	1
	Scope	2
Approval Authority President	Definitions	3
	Procedure	4
	Parent Policy	5
Implementation Authority Vice-President (Finance and Services)	Related Policies	6
	Related Instructions/Forms	7
	Related Information	8
Effective Date	History	9
Last Revision		

- 1 Purpose** This procedure sets out the process for disclosing, documenting and managing Conflict of Interest as set out in the University's Code of Conduct. There are additional conflict of interest obligations for Researchers in the Research Integrity Policy. There may also be additional conflict of interest obligations for individuals participating in University committees, boards or panels as set out in the applicable terms of reference.
- 2 Scope** This procedure applies to Academic Staff Members, Appointees, Employees, Volunteer Appointees and Researchers.
- 3 Definitions** In this procedure:
- a) "Academic Staff Member" means an individual who is engaged to work for the University and is identified as an Academic Staff Member under Article 1 of the applicable Collective Agreement.
 - b) "Appointee" means an individual who is engaged to work for the University, or whose work is affiliated with the University, through a letter of appointment, including adjunct faculty, clinical appointments, visiting researchers and scholars.

- c) “Collective Agreement” means any collective agreement between the Governors of the University of Calgary and (i) the Faculty Association of the University of Calgary, (ii) the Alberta Union of Public Employees, ~~or (iii) the~~ Graduate Students’ Association of the University of Calgary or (iv) any other association or union representing Employees, in each case, in effect at the relevant time.
- d) A “Conflict of Interest” exists when, in the course of carrying out their University responsibilities, an individual takes any action where they know or ought to know that the action may result in ~~a real~~ an actual or perceived Private Benefit to them or to a Related Person or Related Entity, including:
- i. the individual takes part in a decision in the course of carrying out their University responsibilities, where they know or ought to know that the decision may result in ~~a real~~ an actual or perceived Private Benefit to them or to a Related Person or Related Entity; or
 - ii. the individual uses their position with the University to influence or seek to influence a University decision which they know or ought to know may result in ~~a real~~ an actual or perceived Private Benefit to them or to a Related Person or Related Entity; or
 - iii. the individual communicates information that they know or ought to know is not available to the general public and is obtained by the individual in the course of carrying out their University responsibilities or as a result of their University position in order to obtain or seek to obtain a Private Benefit for the individual or for a Related Person or Related Entity.
- e) “Dean” means the head of a faculty at the University or the head of the University’s Qatar Campus, or for Academic Staff Members who are not members of a faculty, the most senior administrative person of their school or other unit.
- f) “Employee” means an individual, other than an Academic Staff Member or Appointee, who is engaged to work for the University under an employment contract.
- g) “Manager” means:
- i. for the President, the chair of the University’s Board of Governors;
 - ii. for an Academic Staff Member, Appointee or Employee of the University of Calgary (other than the President), the SLT Member who has management responsibility for the faculty, department or unit of which the Academic Staff Member, Appointee or other Employee is a member;
 - iii. for an Employee (other than the chief executive officer) of a subsidiary of the University, the chief executive officer of the subsidiary;
 - iv. for the chief executive officer of ~~the~~ a subsidiary of the University, the SLT Member who has management responsibility for the subsidiary; ~~and~~

v. ~~for~~ for the chair of the University's Board of Governors, the chair of the Audit Committee of the University's Board of Governors; and

~~vi.~~ for any other Volunteer Appointee, the chair of the University's Board of Governors, committee of the Board, Senate or University Alumni Board of Directors, as applicable.

- h) "Private Benefit" means a financial benefit, a personal benefit or furthering a private interest (and includes the avoidance of a negative consequence) other than a financial benefit, a personal benefit or a private interest that;
- i. of general application;
 - ii. affects a person as a member of a group/broad class, such as Academic Staff Members; or
 - iii. is inconsequential.
- i) ~~ii.~~ "Related Entity" means:
- i. a public corporation of which the individual is a director or officer or the beneficial owner of more than 5% of the outstanding shares of any class;
 - ii. a 'for-profit' private corporation of which the individual is a director or officer;
 - iii. a 'for-profit' private corporation of which the individual is the beneficial owner of shares in the corporation, except:
 1. an association as defined in the Co-operatives Associations Act;
 2. a credit union incorporated under the Credit Union Act;
 3. a co-operative credit society incorporated by or under an Act of the parliament of Canada; or
 4. the United Farmers of Alberta Cooperative Limited;
 - iv. a non-profit corporation or an association of which the individual is a director or officer; and
 - v. a partnership of which the individual is a partner or of which one of the partners is a Related Entity of the individual by reason of clause (i),(ii), (iii) or (iv) above.
- j) "Related Person" means an individual who is directly associated with another individual and includes:
- i. a parent, sibling and child of the individual;
 - ii. a spouse or domestic partner of the individual; and
 - iii. any other person who is directly associated with ~~an~~the individual.
- k) "Research" means an undertaking intended to extend knowledge through disciplined inquiry or systematic investigation. The conduct of Research includes applying for and managing funds, collecting and analyzing data, and disseminating results.

- l) “Researcher” means an individual who undertakes Research under the auspices of or in affiliation with the University regardless of the source of funding.
- m) “SLT Member” means an Employee who, at the relevant time, is designated as a member of the Senior Leadership Team.
- n) “University” means the University of Calgary and its subsidiaries.
- o) “Volunteer Appointee” means a member of the University’s Board of Governors or a committee of the Board of Governors, a member of the Senate or a member of the Board of Directors of the University Alumni Association.

4 Procedure

Conflict of Interest

- 4.1 The University recognizes that Conflict of Interest will occur. Conflict of Interest will be disclosed and managed in a fair, open and practical manner.
- 4.2 An individual engaging in an activity or situation that involves a Conflict of Interest will report the Conflict of Interest so that it may be assessed and, when appropriate, managed.

Academic Staff Members

4.3 Academic Staff Members have an ongoing obligation to disclose to their Dean, in writing, any time a Conflict of Interest arises.

4.34.4 In particular, Academic Staff Members will disclose any Conflict of Interest relating to outside professional activity, hiring, promotion and tenure to their Dean in accordance with the applicable Collective Agreement provisions.

4.44.5 Academic Staff Members may have additional conflict of interest obligations and disclosure requirements in their role as Researchers as set out in 4.25 and 4.26.

~~4.51.1 The Dean Academic Staff Members have an ongoing obligation to disclose to their Dean, in writing, any time a Conflict of Interest arises.~~

4.6 ~~Academic Staff Members will disclose any Conflict of Interest not covered by sections 4.3 and 4.4 to their Dean who~~ will assess the Conflict of Interest and determine whether:

- a) there is a Conflict of Interest;
- b) the Conflict of Interest may be managed as an allowed Conflict of Interest; or
- c) the Conflict of Interest is not able to withstand reasonable and independent scrutiny.

4.7 If the Dean determines that there is not a Conflict of Interest, the Dean will indicate in writing that there is no Conflict of Interest.

- 4.8 If the Dean determines that there is a Conflict of Interest that may be managed, the Dean will work with the Academic Staff Member to determine an appropriate conflict management plan.
- 4.9 Details of the conflict management plan will be documented and signed by the Dean and the Academic Staff Member.
- 4.10 If the Dean determines that there is a Conflict of Interest that cannot be appropriately managed, the Academic Staff Member will be required to take steps to eliminate the Conflict of Interest. The steps taken to eliminate the Conflict of Interest will be documented and signed by the Dean and the Academic Staff Member.
- 4.11 If a Dean has a financial or personal interest in the Conflict of Interest being assessed the Conflict of Interest will be assessed by the next appropriate senior reporting officer.
- 4.12 The Dean will keep all records required by this procedure in accordance with University document retention rules.
- 4.13 The Dean will administer or delegate the implementation and ongoing monitoring of the conflict management plan.

Employees, Appointees and Volunteer Appointees

- 4.14 Employees and Appointees with the authority to approve expenditures (including purchasing) or contracts on behalf of the University or the authority to approve the hiring of an individual on behalf of the University are required to complete the Conflict of Interest Disclosure Form annually. The Conflict of Interest Disclosure Form will be submitted no later than January 31 each year.
- 4.15 All Employees, Appointees and Volunteer Appointees are required to complete a Conflict of Interest Disclosure Form any time a new Conflict of Interest arises. A Volunteer Appointee who is subject to substantially similar Conflict of Interest disclosure requirements as a result of being a member of the University's Board of Governors or a committee of the Board of Governors, a member of the Senate or a member of the University Alumni Association Board may fulfill their obligations under this 4.15 by complying with those substantially similar Conflict of Interest disclosure requirements if the Conflict of Interest arises in their role as Volunteer Appointee.
- 4.16 The Employee, Appointee or Volunteer Appointee will submit the Conflict of Interest Disclosure Form to their Manager who will assess the Conflict of Interest and determine whether:
 - a) there is a Conflict of Interest;
 - b) the Conflict of Interest may be managed as an allowed Conflict of Interest; or
 - c) the Conflict of Interest is not able to withstand reasonable and independent scrutiny.

- 4.17 If the Manager determines that there is not a Conflict of Interest, the Manager will sign the Conflict of Interest Disclosure Form indicating that there is no Conflict of Interest.
- 4.18 If the Manager determines that there is a Conflict of Interest that may be managed, the Manager will work with the Employee, Appointee or Volunteer Appointee to determine an appropriate conflict management plan.
- 4.19 Details of the conflict management plan will be documented and signed by the Manager and the Employee, Appointee or Volunteer Appointee.
- 4.20 If the Manager determines that there is a Conflict of Interest that cannot be appropriately managed, the Employee, Appointee or Volunteer Appointee will be required to take steps to eliminate the Conflict of Interest. The steps taken to eliminate the Conflict of Interest will be documented on the Conflict of Interest Disclosure Form.
- 4.21 If a Manager has a financial or personal interest in the Conflict of Interest being assessed the Conflict of Interest Disclosure Form will be assessed by the next appropriate senior reporting officer or the Chair of the Board of Governors, as applicable.
- 4.22 The Manager will keep all records required by this procedure in accordance with University document retention rules.
- 4.23 The Manager will administer or delegate the implementation and ongoing monitoring of the conflict management plan.
- 4.24 Employees and Appointees may have additional conflict of interest obligations and disclosure requirements in their role as Researchers as set out in 4.25 and 4.26.

Researchers

- 4.25 Academic Staff Members, Employees and Appointees who engage in Research will comply with any additional conflict of interest requirements of the Research Integrity Policy, the applicable funding agency, the applicable research agreement and any additional standards set pursuant to 4.26.
- 4.26 The Vice-President (Research) has the authority to set additional standards for the disclosure and management of conflicts of interest related to Research.

- 5 Parent Policy [Code of Conduct](#)
- 6 Related Policies [Research Integrity Policy](#)
- 7 Related Instructions/Forms [Conflict of Interest Disclosure Form](#)
- 8 Related Information Research Compliance Website
[Instructions for US PHS Funding Disclosure of Financial Conflicts of Interest](#)

9 History

Appendix C



University Policy
University Procedure
 Instructions/Forms

Procedure for Protected Disclosures

Classification	Governance	Table of Contents	
Approval Authority	President	Purpose	1
Implementation Authority	General Counsel	Scope	2
Effective Date	March 1, 2006	Definitions	3
Latest Revision	December 3, 2015	Procedure	4
		Parent Policy	5
		Related Procedures	6
		Related Information	7
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		History	9

- Purpose**
- 1 This procedure outlines the process by which:
- individuals may make a Protected Disclosure;
 - the University will respond to a Protected Disclosure; and
 - individuals will be protected from Reprisals for making a Protected Disclosure.
- Scope**
- 2 This procedure applies to Protected Disclosures except Protected Disclosures involving allegations of breaches of the Research Integrity Policy, which will be dealt with under the Procedure for Investigating a Breach of Research Integrity. However, substantiated allegations of breaches of the Research Integrity Policy that are also breaches of the Act will be included in the Chief Officer's annual report pursuant to this procedure.
- Definitions**
- 3 In this procedure:
- "Academic Staff Member" means an individual who is engaged to work for the University and is identified as an academic staff member under Article 1 of the collective agreement between the Faculty Association of the University of Calgary and the Governors of the University of Calgary in effect at the relevant time.
 - "Act" means the Public Interest Disclosure (Whistleblower Protection) Act (Alberta).

- c) "Appointee" means an individual who is engaged to work for the University, or whose work is affiliated with the University, through a letter of appointment, including adjunct faculty, clinical appointments and visiting researchers and scholars.
- d) "Business Days" means days that the University is open for business, excluding weekends and holiday closures.
- e) "Chief Officer" means the President of the University as set out in the Act.
- f) "Commissioner" means the Public Interest Commissioner of Alberta.
- g) "Complainant" means the person making a Protected Disclosure.
- h) "ConfidenceLine" means the external service provider established for receiving complaints under the Act.
- i) "Contractor" means an individual or a corporation or other entity who agrees to furnish materials to or perform services for the University for consideration.
- j) "Employee" means an individual, other than an Academic Staff Member or Appointee, who is engaged to work for the University under an employment contract.
- k) "Interference" means any direct or indirect action or use of authority to obstruct an individual's right to make a Protected Disclosure.
- l) "Investigation Report" means the written report summarizing the investigation and the Investigators findings including:
 - i. findings of fact;
 - ii. assessment of all of the evidence; and
 - iii. an analysis and conclusion as to whether or not the complaint was substantiated.
- m) "Investigator" means the person or persons appointed by the Protected Disclosure Advisor to investigate a Protected Disclosure.
- n) "Postdoctoral Scholar" means an individual who has completed a doctoral degree and is carrying out research at the University under the direction or mentorship of a supervising Academic Staff Member.
- o) "Protected Disclosure" means any disclosure:
 - i. made pursuant to the Act;
 - ii. involving an allegation of a breach of the Code of Conduct; or
 - iii. involving an allegation of a breach of any other University policy where a Respondent is an Academic Staff Member, Appointee, Contractor, Volunteer or Postdoctoral Scholar.

- p) "Protected Disclosure Advisor" is the University's designated officer pursuant to the Act who is responsible for:
 - i. receiving, screening, and preliminary analysis of Protected Disclosures;
 - ii. managing Protected Disclosures;
 - iii. selecting and mandating the Investigator; and
 - iv. reviewing the Investigation Report and making recommendations to the Chief Officer.
- q) "Reprisal" means Retaliatory Measures that are taken against an individual because the individual has sought advice about making a Protected Disclosure, made a Protected Disclosure in good faith, co-operated in an investigation of a Protected Disclosure, or declined to participate in behaviour that would breach University policy.
- r) "Respondent" means the Employee, Academic Staff Member, Appointee, Postdoctoral Scholar, Student, Contractor or Volunteer who is alleged to have breached the Act, the Code of Conduct or where applicable, other University policy.
- s) Retaliatory Measures include:
 - i. a dismissal, layoff, suspension, demotion or transfer, discontinuation or elimination of a job, change of job location, reduction in wages, change in hours of work or reprimand;
 - ii. any act that adversely affects the employment, working conditions, or education of the individual; and
 - iii. a threat to do any of the above.
- t) "Student" means an individual registered in a University course or program of study.
- u) "University" means the University of Calgary.
- v) "Volunteer" means an individual who, on a voluntary basis, provides a service or materials to the University.
- w) "Wrongdoing" means:
 - i. a contravention of an Act of Parliament or of the legislature of Alberta, or of any regulations made under any such Act;
 - ii. an act or omission that creates:
 - i. a substantial and specific danger to the life, health or safety of individuals other than a danger that is inherent in the performance of the duties or functions of an Employee or Academic Staff Member; or
 - ii. a substantial and specific danger to the environment.
 - iii. gross mismanagement of public funds or a public asset;
 - iv. a contravention of University policies;

- v. knowingly directing or counseling an individual to commit a Wrongdoing mentioned in clauses (i) to (iv);
- vi. Interference; and
- vii. Reprisal.

Procedure

4 Making a Protected Disclosure

4.1 An individual may make a Protected Disclosure to any of the following:

- a) a manager, supervisor, or dean;
- b) the [Protected Disclosure Advisor](#)
Telephone: 403-220-4086
Email: disclose@ucalgary.ca
- c) the President of the University; or
- d) the external service provider established for this purpose:
ConfidenceLine (1-800-661-9675).

4.2 The Protected Disclosure should include the following information:

- a) the nature of the activity giving rise to the complaint;
- b) a description of all parties involved;
- c) any potential financial interests and rewards;
- d) possible violations of law or University policy; and
- e) any other information useful in evaluating the Protected Disclosure.

4.3 The Protected Disclosure may be submitted anonymously but the Complainant should be aware that this may limit the ability of the University to respond and investigate.

Receipt of a Protected Disclosure by a Manager, Supervisor, Dean or the President.

4.4 An individual, other than the Protected Disclosure Advisor, who receives a Protected Disclosure will respond in writing within five (5) Business Days after receipt to acknowledge receipt of the Protected Disclosure.

4.5 The individual receiving the Protected Disclosure will record the details of the Protected Disclosure in writing, including:

- a) the date and time the disclosure was received;
- b) the name of the Complainant (unless the Complainant has requested anonymity);
- c) the name(s) of the Respondent; and
- d) full details of the disclosure.

4.6 The individual receiving the Protected Disclosure will promptly refer the Protected Disclosure to the Protected Disclosure Advisor.

Receipt of a Protected Disclosure by the External Service Provider

4.7 A call assistant will answer a call to *ConfidenceLine*. A call assistant will listen to and record details of the Protected Disclosure. The call assistant may also ask the Complainant questions to clarify facts.

4.8 The Complainant may provide their name to the call assistant or choose to remain anonymous. In either case, the call assistant will provide the Complainant with a personal Caller Information Number (CIN) which will be the only identification required for subsequent calls by the Complainant to the *ConfidenceLine*.

4.9 The call assistant will create a report containing pertinent information about the Protected Disclosure. This information will be made available electronically to the Protected Disclosure Advisor.

4.10 The call assistant will provide the Complainant with information on whether the Protected Disclosure is being investigated if the Complainant calls back.

Receipt of a Protected Disclosure by the Protected Disclosure Advisor

4.11 If the Protected Disclosure has not yet been acknowledged, the Protected Disclosure Advisor will acknowledge receipt of the Protected Disclosure within five (5) Business Days after it is received by the Protected Disclosure Advisor.

4.12 The Protected Disclosure Advisor will review the following with the Complainant if the Complainant is not anonymous:

- a) this procedure;
- b) potential alternative procedures for dealing with the matter;
- c) confidentiality protections;
- d) the record keeping process; and
- e) the commitment of the University to protect the Complainant from Reprisal.

4.13 Within ten (10) Business Days of receipt of the Protected Disclosure by the Protected Disclosure Advisor, the Protected Disclosure Advisor will decide if:

- a) the disclosure should be dealt with as a Protected Disclosure of Wrongdoing;
- b) the disclosure should be referred to an alternate process;
- c) the disclosure should be dismissed for being frivolous or vexatious or made in bad faith; or
- d) the disclosure should be dismissed for another valid reason.

4.14 Within the ten (10) Business Days of receipt of the Protected Disclosure by the Protected Disclosure Advisor, the Protected Disclosure Advisor will inform the *ConfidenceLine* or the Complainant, if the Complainant is not anonymous, of the decision and what the next steps are, if any.

4.15 The Protected Disclosure Advisor will refer the Protected Disclosure to the Commissioner as soon as reasonably practicable if the Protected Disclosure Advisor reasonably believes that the matter to which the Protected Disclosure relates constitutes an imminent risk of substantial

or specific danger to the life, health or safety of individuals, or to the environment.

Protecting the Complainant

- 4.16 The Protected Disclosure Advisor may appoint an advocate for the Complainant to assist in managing the Complainant's welfare. The advocate will:
- a) examine the immediate welfare and protection needs of the Complainant;
 - b) ensure the Complainant is aware of employee assistance programs or other supports;
 - c) listen to any concerns of harassment or intimidation, or Reprisal for making a Protected Disclosure; and
 - d) act as liaison and guide pertaining to the process.

Investigating a Protected Disclosure

- 4.17 The Protected Disclosure Advisor will appoint an Investigator to carry out the investigation. The Investigator may be an individual internal or external to the University or a committee. When the Protected Disclosure Advisor appoints a committee, the Protected Disclosure Advisor will appoint one member of the committee as chair.
- 4.18 The objectives of the investigation will be:
- a) to collect information relating to the allegation. This may involve steps to protect or preserve documents, materials and equipment and to interview witnesses;
 - b) to consider the information collected and to draw conclusions objectively and impartially;
 - c) to maintain procedural fairness in the treatment of the Complainant, Respondent and witnesses; and
 - d) If applicable, to make recommendations arising from the conclusions drawn concerning non-disciplinary remedial or other appropriate action.
- 4.19 The Protected Disclosure Advisor will draw up terms of reference for the investigation of a Protected Disclosure and obtain authorization for those terms from General Counsel prior to appointing the Investigator.
- 4.20 The terms of reference will set a date, no later than 110 Business Days after the receipt of the Protected Disclosure, by which the Investigation Report is to be concluded and will describe the resources available to the Investigator to complete the investigation within the time allotted.
- 4.21 Pursuant to the Act, the Chief Officer may approve an extension of time to complete an investigation up to thirty (30) Business Days when requested by the Investigator. Any further extension of time must be approved in advance by the Commissioner.

- 4.22 The terms of reference will require the Investigator to update the Protected Disclosure Advisor on the progress of the investigation who, in turn, will keep General Counsel informed of the progress.
- 4.23 The Investigator will prepare an investigation plan for approval by the Protected Disclosure Advisor. The plan will list the issues to be substantiated and describe the avenue of inquiry. The plan will ask the following questions:
- a) What is being alleged?
 - b) What are the possible findings or offenses?
 - c) What are the facts in issue?
 - d) How is the inquiry to be conducted?
 - e) What resources are required?
- 4.24 If the Complainant can be contacted, the Complainant will, at this point in the process, be:
- a) notified by the Investigator that they have been appointed to conduct the investigation;
 - b) asked to clarify any matters; and
 - c) asked to provide any additional material the Complainant might have.
- 4.25 The Investigator will follow the principles of natural justice. The principles of natural justice concern procedural fairness and ensure a fair decision is reached by an objective decision-maker. Maintaining procedural fairness protects the rights of individuals and enhances public confidence in the process.

The University will show consideration for the following precepts in ensuring procedural fairness:

- a) the Respondent is entitled to know the allegations made against them and must be given the right to respond. This does not mean the Respondent must be advised of the allegation as soon as the disclosure is received or the investigation has commenced; and
- b) if the Investigator is contemplating making a report adverse to the interests of any person, that person should be given the opportunity to put forward further material that may influence the outcome of the report and that person's defense should be set out in the report.

Conducting the Investigation

- 4.26 Everyone involved in the investigation of a Protected Disclosure will keep all information relating to the Protected Disclosure confidential except for information required to be shared under this policy or information shared with those who have a legitimate need for the information.
- 4.27 The Investigator will make notes of all discussions, phone calls, and interviews with witnesses.

4.28 If the Complainant or Respondent are represented by a union or faculty association, they will be advised of their right to representation and may request to have a union or faculty association representative present during any investigation meetings or interviews.

4.29 The Protected Disclosure Advisor will advise the Complainant of the progress of the investigation and whether the complaint was substantiated or not.

Final Report of the Investigator

4.30 When the investigation is complete, the Investigator will submit a written investigation report to the Protected Disclosure Advisor. The report will include:

- a) the allegation;
- b) an account of all relevant information received and, if the Investigator has rejected evidence as being unreliable, the reasons for this conclusion;
- c) the conclusions reached and the basis for them; and
- d) if the Investigator has found evidence of wrongdoing, recommendations for non-disciplinary action that should be taken to prevent the conduct from continuing or occurring in the future as well as action that should be taken to remedy any harm or loss arising from the misconduct.

4.31 If the investigation has identified any other possible violations of the Act or University policy, the Investigator should include the possible violations in the report. The possible violations identified in the report will be dealt with by the Protected Disclosure Advisor in accordance with this procedure.

4.32 The report will be accompanied by all records created or received by the Investigator in the course of the investigation.

4.33 The report will not include information that leads or could lead to the identification of the Complainant if the Complainant has requested anonymity.

Outcome of the Investigation

4.34 If the Protected Disclosure Advisor is satisfied that the report brings the investigation to an end, the Protected Disclosure Advisor will provide a report to General Counsel including:

- a) whether the Protected Disclosure was substantiated; and
- b) recommendations for non-disciplinary corrective action.

4.35 If the Protected Disclosure included a violation of the Act, the Protected Disclosure Advisor will provide the report referred to in 4.34 to the Chief Officer.

- 4.36 If the complaint is substantiated, the Protected Disclosure Advisor will provide the relevant dean or manager with the report or a summary of the report's findings and recommendations.
- 4.37 A Respondent who is found to have committed a breach of the Act or of University policy may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Disciplinary action will be taken in accordance with the provisions of any applicable collective agreement or any applicable policy relating to Student conduct.

Records

- 4.38 Records pertaining to a Protected Disclosure are the property of the University and will be retained in accordance with University document retention rules. Records will also be safeguarded to ensure confidentiality and, when applicable, the Complainant's anonymity.
- 4.39 The Protected Disclosure Advisor will provide the Chief Officer and the Chair of the Board of Governors with an annual statistical summary of all Protected Disclosures received under this procedure including those handled informally or referred to an alternate process.

Chief Officer's Annual Report

- 4.40 The Chief Officer will prepare a report annually on all Protected Disclosures received which involve a violation of the Act. This report will include:
- a) the number of disclosures received by the Protected Disclosure Advisor that involve a violation of the Act, the number of disclosures that were acted on and the number of disclosures not acted on by the Protected Disclosure Advisor;
 - b) the number of investigations commenced by the Protected Disclosure Advisor as a result of Protected Disclosures involving violations of the Act; and
 - c) in the case of an investigation that results in a finding of a violation of the Act, a description of the violation and any recommendations made or corrective measures taken in relation to the violation or the reasons why no corrective action was taken.
- 4.41 The annual report of the Chief Officer will be included in the annual report of the University and will be made publically available upon request.

Parent Policy	5	Code of Conduct
Related Policies	6	Harassment Policy Fraud Policy
Related Information	7	ODEPD website
References	8	Public Interest Disclosure (Whistleblower Protection) Act

[Public Interest Disclosure \(Whistleblower Protection\) Regulation](#)

- History**
- 9 *Editorial Change:* May 15, 2018 (definition of "Student")
 - Approved:* February 10, 2005
 - Effective:* March 1, 2006
 - Revised:* December 3, 2015

Code of Conduct

Classification Human Resources	Table of Contents 1 Purpose..... 1 2 Scope 1 3 Definitions..... 1 4 Policy Statement..... 6 General6 Compliance with Laws and Policies.....6 Conflicts of Interest7 Concurrent Employment7 Supervising Related Persons9 Conflicts of Commitment and Outside Professional Activity9 Gifts10 Use of University Resources12 Presidential Obligations12 Reporting Wrongdoing13 Reprisals14 5 Responsibilities 14 6 O.P.A 15 7 Procedure for Protected Disclosure 18 8 Appendices 18 9 Related Policies..... 19 10 Related Procedures..... 19 11 Related Instructions/Forms 19 12 Related Operating Standards..... 19 13 Related Information..... 19 14 References 19 15 History..... 19
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Effective Date	
Last Revision	

1 Purpose

The University’s mission of teaching, research and service to community requires a shared commitment to the core values of the University as well as a commitment to conduct University activities ethically.

The purpose of this policy is to communicate the University’s expectations with respect to the behaviour of Employees (which includes Postdoctoral Scholars), Academic Staff Members, Appointees, Students and Volunteer Appointees.

2 Scope

This policy applies to Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees.

3 Definitions

In this policy

- a) “Academic Staff Member” means an individual who is engaged to work for the University and is identified as an Academic Staff Member under Article 1 of the applicable Collective Agreement.
- b) “Appointee” means an individual who is engaged to work for the University, or whose work is affiliated with the University, through a letter of appointment, including adjunct faculty, clinical appointments, visiting researchers and scholars.
- c) “Collective Agreement” means any collective agreement between the Governors of the University of Calgary and (i) the Faculty Association of the University of Calgary, (ii) the Alberta Union of Public Employees, (iii) the Graduate Students’ Association of the University of Calgary or (iv) any other association or union representing Employees, in each case, in effect at the relevant time.
- d) A “Conflict of Commitment” exists when an Employee’s employment with an individual or organization (other than the University) or activities adversely affects their ability to fulfill their University responsibilities.
- e) A “Conflict of Interest” exists when, in the course of carrying out their University responsibilities, an individual takes any action where they know or ought to know that the action may result in an actual or perceived Private Benefit to them or to a Related Person or Related Entity, including:
 - i. the individual takes part in a decision in the course of carrying out their University responsibilities, where they know or ought to know that the decision may result in an actual or perceived Private Benefit to them or to a Related Person or Related Entity; or
 - ii. the individual uses their position with the University to influence or seek to influence a University decision which they know or ought to know may result in an actual or perceived Private Benefit to them or to a Related Person or Related Entity; or
 - iii. the individual communicates information that they know or ought to know is not available to the general public and is obtained by the individual in the course of carrying out their University responsibilities or as a result of their University position in order to obtain or seek to obtain a Private Benefit for the individual or for a Related Person or Related Entity.
- f) “ELT Manager” means:
 - i. for the President, the chair of the University’s Board of Governors;
 - ii. for an ELT Member other than the President, the President;
 - iii. for an Academic Staff Member, Appointee or Employee of the University of Calgary (other than the President or an ELT Member), the ELT Member who has management responsibility for the faculty, department or unit of

- which the Academic Staff Member, Appointee or other Employee is a member;
- iv. for an Employee of a subsidiary of the University, the ELT Member who has management responsibility for the subsidiary;
 - v. for the chair of the University's Board of Governors, the chair of the Audit Committee of the University's Board of Governors; and
 - vi. for any other Volunteer Appointee, the chair of the University's Board of Governors, committee of the Board, Senate or University Alumni Board of Directors, as applicable.
- g) "ELT Member" means an Employee who, at the relevant time, is designated as a member of the Executive Leadership Team.
- h) "Employee" means an individual, other than an Academic Staff Member or Appointee, who is engaged to work for the University under an employment contract. For clarity, Employees includes Postdoctoral Scholars who are engaged to work for the University under an employment contract.
- i) "Interference" means any direct or indirect action or use of authority to obstruct an individual's right to make a Protected Disclosure.
- j) "Manager" means:
- i. for the President, the chair of the University's Board of Governors;
 - ii. for an Academic Staff Member, Appointee or Employee of the University of Calgary (other than the President), the SLT Member who has management responsibility for the faculty, department or unit of which the Academic Staff Member, Appointee or other Employee is a member;
 - iii. for an Employee (other than the chief executive officer) of a subsidiary of the University, the chief executive officer of the subsidiary;
 - iv. for the chief executive officer of a subsidiary of the University, the SLT Member who has management responsibility for the subsidiary;
 - v. for the chair of the University's Board of Governors, the chair of the Audit Committee of the University's Board of Governors; and
 - vi. for any other Volunteer Appointee, the chair of the University's Board of Governors, committee of the Board, Senate or University Alumni Board of Directors, as applicable.
- k) "Outside Professional Activity" and "O.P.A." have the meaning given to such terms in section 6.1 below.
- l) "Postdoctoral Scholar" means an individual who has completed a doctoral degree and is carrying out research at the University under the direction or mentorship of a supervising faculty member.
- m) "President" means the president of the University of Calgary.

- n) "Private Benefit" means a financial benefit, a personal benefit or furthering a private interest (and includes the avoidance of a negative consequence) other than a financial benefit, a personal benefit or a private interest that:
- i. is of general application;
 - ii. affects a person as a member of a broad class, such as Academic Staff Members; or
 - iii. is inconsequential.
- o) "Protected Disclosure" means a disclosure made in good faith by an Employee, Academic Staff Member, Appointee, Student or Volunteer Appointee concerning an actual or perceived Wrongdoing.
- p) "Related Entity" means:
- i. a public corporation of which the individual is a director or officer or the beneficial owner of more than 5% of the outstanding shares of any class;
 - ii. a 'for-profit' private corporation of which the individual is a director or officer;
 - iii. a 'for-profit' private corporation of which the individual is the beneficial owner of shares in the corporation, except:
 1. an association as defined in the Co-operatives Associations Act;
 2. a credit union incorporated under the Credit Union Act;
 3. a co-operative credit society incorporated by or under an Act of the parliament of Canada; or
 4. the United Farmers of Alberta Cooperative Limited;
 - iv. a non-profit corporation or an association of which the individual is a director or officer; and
 - v. a partnership of which the individual is a partner or of which one of the partners is a Related Entity of the individual by reason of clause (i),(ii), (iii) or (iv) above.
- q) "Related Person" means an individual who is directly associated with another individual and includes:
- i. a parent, sibling and child of the individual;
 - ii. a spouse or domestic partner of the individual; and
 - iii. any other person who is directly associated with the individual.
- r) "Reprisal" means Retaliatory Measures that are taken against an individual because they have sought advice about making a disclosure of Wrongdoing, made a disclosure of Wrongdoing in good faith, co-operated in an investigation of Wrongdoing, or declined to participate in a Wrongdoing.
- s) Retaliatory Measures include:

- i. a dismissal, layoff, suspension, demotion or transfer, discontinuation or elimination of a job, change of job location, reduction in wages, change in hours of work or reprimand;
 - ii. any other act that adversely affects the employment, working conditions, or education of the individual;
 - iii. a threat to do any of the above.

- t) "SLT Member" means an Employee who, at the relevant time, is designated as a member of the Senior Leadership Team.

- u) "Specified Professional Association" means a professional association, approved by the President or their delegate, which has a code of conduct, can discipline its members for breach of its code of conduct, and is listed in Appendix A as amended from time to time and approved by the Ethics Commissioner.

- v) "Student" means an individual registered in a University course or program of study.

- w) "University" means the University of Calgary and its subsidiaries.

- x) "University Resources" means the tangible and intangible assets of the University.

- y) "Volunteer Appointee" means a member of the University's Board of Governors or a committee of the Board of Governors, a member of the Senate or a member of the Board of Directors of the University Alumni Association.

- z) "Wrongdoing" means:
 - i. a contravention of an Act of Parliament or of the legislature of Alberta, or of any regulations made under any such Act;
 - ii. an act or omission that creates:
 - 1. a substantial and specific danger to the life, health or safety of individuals other than a danger that is inherent in the performance of the duties or functions of an Employee, Academic Staff Member or Appointee; or
 - 2. a substantial and specific danger to the environment.
 - iii. gross mismanagement of public funds or a public asset;
 - iv. a contravention of University policies;
 - v. knowingly directing or counseling an individual to commit a Wrongdoing mentioned in clauses (i) to (iv);
 - vi. Interference; and
 - vii. Reprisal.

4 Policy Statement

General

- 4.1** The University endeavours to create and maintain a positive and productive learning, working and living environment; an environment in which there is:
- a) respect for the dignity of all;
 - b) fair treatment of individuals;
 - c) respect for academic freedom; and
 - d) respect for University Resources and the property of individuals.
- 4.2** When representing the University, Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees are required to act:
- a) ethically, honestly and with integrity; and
 - b) in accordance with the principles of fairness, good faith, and respect.
- 4.3** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees are responsible to the University for their actions and their decisions not to act when they are representing the University.
- Note: This section is not intended to limit the academic freedom of an Academic Staff Member or Appointee.
- 4.4** Employees, Academic Staff Members, Appointees and Volunteer Appointees are required to conduct themselves impartially in fulfilling their University responsibilities. This means they must comply with section 4.2 and the other provisions of this policy.
- Note: This section is not intended to limit the academic freedom of an Academic Staff Member or Appointee.

Compliance with Laws and Policies

- 4.5** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees are required to fulfill their University responsibilities in compliance with applicable laws, and applicable University policies and procedures and in accordance with contractual commitments.
- 4.6** For greater certainty, Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees who have access to information which is confidential, proprietary, or personal are required to be familiar and to comply with laws and University policies and procedures pertaining to access, use, modification, protection, and disclosure of such information.
- 4.7** In some cases Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees are governed by ethical codes or standards of their professions or disciplines. Employees, Academic Staff, Appointees, Students and Volunteer Appointees are required to conduct their professional activities and their activities related to their discipline in compliance with all applicable codes and standards of their profession or discipline.

Conflicts of Interest

- 4.8** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees must not act in self-interest or further their private interests by virtue of their position at the University or through fulfilling their University responsibilities. They are required to disclose in writing, in accordance with the Procedure for Conflict of Interest, any actual, potential or perceived Conflict of Interest. The Procedure for Conflict of Interest is set out in Appendix B, which forms part of this policy.
- 4.9** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees must not take part in a decision if doing so would result in a Conflict of Interest.
- 4.10** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees must not use their position with the University to influence or seek to influence a University decision if doing so would result in a Conflict of Interest.
- 4.11** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees must not use or communicate information that is not available to the public and that is obtained in the course of carrying out their University responsibilities or as a result of their University position in order to obtain or seek to obtain a Private Benefit for themselves or for a Related Person or Related Entity.

Note: This section is not intended to interfere with the exercise of an individual's rights under the Intellectual Property Policy.

Concurrent Employment

- 4.12** The requirements for prior reporting and approval of concurrent employment or appointments set out in sections 4.14 to 4.22 do not apply to the President.
- 4.13** The requirements for prior reporting and approval of concurrent appointments set out in section 4.14 only apply to concurrent appointments for which the Employee (including a Student in their role as an Employee), Academic Staff Member, Appointee or Volunteer Appointee receives or is entitled to receive remuneration.
- 4.14** Subject to sections 4.15 to 4.22, prior to accepting any concurrent employment or appointment, an Employee (including a Student in their role as an Employee), Academic Staff Member, Appointee or Volunteer Appointee must disclose the concurrent employment or appointment to their Manager in writing, in accordance with the Procedure for Conflict of Interest. In accordance with the Procedure for Conflict of Interest, their Manager must review the proposed concurrent employment or appointment to determine if it gives rise to an actual or perceived Conflict of Interest.

If the Manager determines that it does not give rise to an actual or perceived Conflict of Interest, the Manager must approve the concurrent employment or appointment in writing.

If the Manager determines that it does give rise to an actual or perceived Conflict of Interest, then the Manager must, in accordance with the Procedure for Conflict of Interest, put an appropriate plan in place to manage the Conflict of Interest.

If the Manager determines that the Conflict of Interest cannot be appropriately managed, then the Employee, Academic Staff Member, Appointee or Volunteer Appointee must take steps to eliminate the actual or perceived Conflict of Interest and the steps taken to do so must be documented and agreed to by the Manager.

- 4.15** If an Employee, Academic Staff Member or Appointee receives income through a research grant, the research work is considered concurrent employment. If the research grant is administered through the University, the research work does not need to be reported and will be deemed to have been pre-approved; if not, it must be reported and approved in accordance with section 4.14.
- 4.16** Any concurrent employment and any paid appointment of a Student who is an Employee does not need to be reported and will be deemed to have been pre-approved if the concurrent employment or paid appointment is in the retail, hospitality or service industries.
- 4.17** Any concurrent employment and any paid appointment of an Academic Staff Member or Appointee who does not hold a full-time position at the University does not need to be reported and will be deemed to have been pre-approved if:
- a) their position at the university is unpaid;
 - b) their concurrent employment or appointment is with another post-secondary institution;
 - c) they teach no more than two courses a semester at the University; or
 - d) their concurrent employment or appointment requires them to be a member of a Specified Professional Association.
- 4.18** If the University knows, at the time an Academic Staff Member or Appointee is hired or appointed to a full-time or part-time position at the University, that the Academic Staff Member or Appointee is being concurrently or jointly hired or appointed to a position at another organization or holds a position at another organization, their position at the other organization will be deemed to have been reported and pre-approved.
- 4.19** Any concurrent employment and any paid appointment of an Employee (other than a Student who is an Employee), does not need to be reported and will be deemed to have been pre-approved if the concurrent employment or paid appointment requires them to work no more than 20 hours per week and those hours are not scheduled during the Employee's normal working hours at the University.

- 4.20** Members of the University's Board of Governors (other than the Board chair) need to report in writing any concurrent employment or appointment to the Board chair but do not need to have any concurrent employment or appointment pre-approved. The Board chair must review each report to determine if the concurrent employment or appointment creates an actual or perceived Conflict of Interest. The Board chair needs to report in writing any concurrent employment or appointment to the Ethics Commissioner but does not need to have any concurrent employment or appointment pre-approved.
- 4.21** Notwithstanding sections 4.15 to 4.20, the requirement for prior reporting and approval of concurrent employment and appointments applies if the concurrent employment or appointment gives rise to an actual or perceived Conflict of Interest.
- 4.22** Notwithstanding sections 4.14 to 4.21, if there is a conflict between the provisions of sections 4.14 to 4.21 and any Collective Agreement, the Collective Agreement prevails. The University will notify the Ethics Commissioner of any such conflict promptly after the University becomes aware of such conflict.

Supervising Related Persons

- 4.23** An Employee, Academic Staff Member or Appointee must not supervise a Related Person.
- 4.24** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees must not be involved in the recruitment, selection, or review of a Related Person.

Conflicts of Commitment and Outside Professional Activity

- 4.25** When an Employee or Appointee, other than the President, intends to engage in any activity that may give rise to a Conflict of Commitment, the Employee or Appointee must disclose the activity to their Manager and obtain their Manager's written approval prior to engaging in the activity. A Manager will not approve engaging in the activity unless the Manager is satisfied, acting reasonably, that the Employee or Appointee will be able to devote sufficient time and energy to effectively fulfill their University responsibilities while engaging in the activity.
- 4.26** An Academic Staff Member may only engage in major Outside Professional Activity which complies with the provisions in sections 6.1 to 6.27 below. However, sections 6.1 to 6.27 do not replace or supersede the provisions of Article 13 of the Collective Agreement with the Faculty Association of the University of Calgary. Consequently, if there is a conflict between sections 6.1 to 6.27 and Article 13 of the Collective Agreement, the Collective Agreement governs to the extent necessary to resolve the conflict.

Gifts

4.27 Section 4.28 does not apply to gifts accepted by an Employee, Academic Staff Member, Appointee or Volunteer Appointee on behalf of the University. Sections 4.28 and 4.29 do not apply to gifts or event invitations to an Employee, Academic Staff Member, Appointee or Volunteer Appointee from the University.

4.28 Employees, Academic Staff Members, Appointees and Volunteer Appointees must not accept gifts that are connected directly or indirectly with the performance of their University responsibilities or their University position, from any individual or organization, other than:

- a) the normal exchange of gifts between friends;
- b) the normal exchange of hospitality between persons doing business together;
- c) tokens exchanged as part of protocol;
- d) the normal presentation of gifts to persons participating in public functions, awards, speeches, lectures, presentations or seminars.

Acceptance of cash or cash equivalents as gifts is always strictly prohibited.

The value of a single tangible gift permitted by this section shall not exceed \$250. The cumulative maximum cash value limit for tangible gifts permitted by this section from a single source in a calendar year is \$500.

4.29 Subject to section 4.30, for any Employee, Academic Staff Member, Appointee or Volunteer Appointee the value of a single event invitation permitted by this section shall not exceed \$500. The cumulative maximum cash value limit for event invitations permitted by this section from a single source in a calendar year is \$500.

4.30 For the chair of the University's Board of Governors, the President, a Vice-President, General Counsel, Assistant Vice-President, Vice-Provost and dean, the value of a single event invitation permitted by this section from a donor or friend of the University shall not exceed \$1,000, and the cumulative maximum cash value limit for event invitations permitted by this section from a single donor or friend of the University in a calendar year is \$2,000.

4.31 Sections 4.29 and 4.30 do not apply to attendance at social events if attendance at the social event is sponsored by a charitable foundation, the Governor General of Canada, a provincial Lieutenant Governor, any Canadian federal, provincial, municipal or regional government or any member of any such government, a consul or ambassador of a foreign country or a not-for-profit organization, provided the not-for-profit organization is not constituted to serve management, union or professional interests and does not have for-profit enterprises or representatives of for-profit enterprises as a majority of its members.

4.32 If an Employee, Academic Staff Member, Appointee or Volunteer Appointee accepts an invitation to speak, or participate in a panel, at a conference, seminar, workshop or similar event (a "Conference Invitation") and their speech or participation relates to their University responsibilities or their major academic interests, the total value of the transportation costs, registration fees,

accommodation, meals and related incidentals which may be gifted to them in connection with the Conference Invitation shall not exceed \$8,000. The cumulative maximum cash value limit for of such items permitted by this section from a single source in a calendar year is \$16,000.

- 4.33** An Employee or Volunteer Appointee may request that their ELT Manager provide advice relating to the Employee's or Volunteer Appointee's obligations under sections 4.28, 4.29, 4.30, 4.31 and/or 4.32 with respect to a specific gift, event or Conference Invitation.

An Academic Staff Member or Appointee may request that their Manager provide advice relating to the Academic Staff Member's or Appointee's obligations under sections 4.28, 4.29, 4.30, 4.31 and/or 4.32 with respect to a specific gift, event or Conference Invitation and then may request that their ELT Manager confirm such advice.

An Employee, Academic Staff Member, Appointee or Volunteer Appointee may request that their ELT Manager approve an increase in the dollar limits set out in sections 4.28, 4.29, 4.30, 4.31 and/or 4.32 with respect to a specific gift, event or Conference Invitation.

- 4.34** The Employee, Academic Staff Member, Appointee or Volunteer Appointee must provide their ELT Manager or their Manager, as applicable, with all material information relating to a request under section 4.33.
- 4.35** The ELT Manager may, in writing, provide the Employee or Volunteer Appointee with advice relating to sections 4.28, 4.29, 4.30, 4.31 and/or 4.32 for the specific gift, event or Conference Invitation.

The Manager may, in writing, provide the Academic Staff Member or Appointee with advice relating to sections 4.28, 4.29, 4.30, 4.31 and/or 4.32 for the specific gift, event or Conference Invitation and the ELT Manager may, in writing, confirm such advice.

The ELT Manager may, in writing, provide the Employee, Academic Staff Member, Appointee or Volunteer Appointee with an approval of an increase in the dollar limits set out in sections 4.28, 4.29, 4.30, 4.31 and/or 4.32 with respect to a specific gift, event or Conference Invitation

The ELT Manager or Manager, as applicable, must act reasonably and in the best interests of the University in providing such advice or confirmation of such advice and/or approving an increase in such dollar limits and must consider whether there is an actual or perceived Conflict of Interest.

- 4.36** The Employee, Academic Staff Member, Appointee or Volunteer Appointee will be deemed to have complied with sections 4.28, 4.29, 4.30, 4.31 and/or 4.32 for the specific gift, event or Conference Invitation if they comply with their ELT Manager's prior written advice or confirmation of their Manager's advice, as applicable, and/or their ELT Manager's prior written approval of new dollar limits.

- 4.37** Notwithstanding sections 4.28 to 4.32, an Employee, Academic Staff Member, Appointee or Volunteer Appointee may not accept a gift, an event invitation or any gift of transportation costs, registration fees, accommodation, meals or related incidentals in connection with a Conference Invitation if the acceptance of any of the foregoing gives rise to an actual or perceived Conflict of Interest.

Use of University Resources

- 4.38** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees may only use University Resources for activities on behalf of the University and within their scope of responsibility.
- 4.39** Notwithstanding 4.38, University Resources may be used for personal purposes in limited circumstances when permitted by an existing policy or where incidental personal use is reasonable in all of the circumstances.
- 4.40** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees are required to treat University Resources with care and to adhere to laws and University policies and procedures regarding the acquisition, use, maintenance, documentation and disposal of University Resources.

Presidential Obligations

- 4.41** In addition to their obligations under section 4.10, the President must not use their office or powers to influence or seek to influence a decision to be made by or on behalf of the Crown in right of Alberta, a provincial agency or the University in order to further their own private interests or to improperly further any other person's private interest.
- 4.42** In addition to their obligations under section 4.11, the President must not use or communicate information that is not available to the general public and is gained in the course of carrying out their office or powers to further or seek to further their own or any other person's private interest.
- 4.43** The President must apply to the chair of the University's Board of Governors and the Ethics Commissioner of Alberta for written approval prior to becoming involved in any appointment, business, undertaking or employment, including self-employment, other than their employment as President. The President must comply with any conditions that the chair and/or the Ethics Commissioner imposes in connection with such approval.
- 4.44** The President must request that the Ethics Commissioner review and confirm any advice or increase in dollar limits the President receives from their ELT Manager pursuant to section 4.35 and must receive the Ethics Commissioner's written confirmation before section 4.36 applies to the President.
- 4.45** As set out in section 23.93 of the Conflicts of Interest Act, the President must not own or hold a beneficial interest in publicly-traded securities unless held in a blind trust or investment arrangement approved by the Ethics Commissioner or the Ethics Commissioner grants prior approval of the retention of the ownership or

beneficial interest. Approvals must be granted in writing by the Ethics Commissioner.

- 4.46** Publicly-traded securities must be managed within 60 days of the individual becoming the President, section 23.93 of the Conflicts of Interest Act becoming applicable to the President, or the President's acquisition of publicly-traded securities by gift or inheritance. The Ethics Commissioner may set out a longer period.
- 4.47** Each year at a time specified by the Ethics Commissioner, the President must provide to the Ethics Commissioner a disclosure statement of the assets, liabilities, investments and financial interest of the President, the President's spouse or adult interdependent partner, the President's minor children, and any private corporation controlled by the President, the President's spouse or adult interdependent partner, the President's minor children, or any combination thereof.
- 4.48** The President also must provide a return relating to persons directly associated to the Ethics Commissioner within 60 days of becoming the President or of section 23.932 of the Conflicts of Interest Act becoming applicable to the President.
- 4.49** The President must file an updated disclosure statement or return relating to persons directly associated within 30 days of any material changes to a previous disclosure statement or return relating to persons directly associated. The President also must file an updated return relating to persons directly associated within 30 days of ceasing to be the President.
- 4.50** As required by s. 23.937 of the Conflicts of Interest Act, for 12 months after the last day they hold their position as President, the President:
- a) must not lobby any public office holder, as defined in the Lobbyists Act;
 - b) must not act on a commercial basis or make representations on behalf of any party in connection with any ongoing matter in connection with which the President directly acted for or advised a department or public agency ;
 - c) must not make representations with respect to or solicit or accept on their own behalf a contract or benefit from a department or public agency with which the President had a direct and significant official dealing; and
 - d) must not accept employment with an individual, organization, board of directors, or equivalent body of an organization with which the President had direct and significant official dealing.

The President may apply to the Ethics Commissioner for a waiver or reduction of the time period applicable to these restrictions.

Reporting Wrongdoing

- 4.51** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees may disclose known or suspected Wrongdoing to the Protected Disclosure Advisor or an independent party in accordance with the Procedure for

Protected Disclosures. The Procedure for Protected Disclosures is set out in Appendix C.

- 4.52** An Employee, Academic Staff Member, Appointee, Student or Volunteer Appointee who is found to have made a frivolous or vexatious report of Wrongdoing may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Disciplinary action will be taken in accordance with the provisions of any applicable Collective Agreement or any applicable policy relating to Student conduct.
- 4.53** An Employee, Academic Staff Member, Appointee, Student or Volunteer Appointee who is found to have committed a Wrongdoing may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Disciplinary action will be taken in accordance with the provisions of any applicable Collective Agreement or any applicable policy relating to Student conduct.

Reprisals

- 4.54** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees will not take any action in Reprisal against another individual.
- 4.55** An individual who believes they may be the subject of a Reprisal may notify the Protected Disclosure Advisor in accordance with the Procedure for Protected Disclosures.

5 Responsibilities

- 5.1** General Counsel will:
- a) provide legal advice on matters relating to the application of this policy; and
 - b) review this policy at least once every three years and, if deemed appropriate, will propose revisions to this policy in accordance with the Procedures for Developing University Policies and Procedures.
- 5.2** Employees, Academic Staff Members, Appointees, Students and Volunteer Appointees will:
- a) be familiar with this policy and act in accordance with it;
 - b) be knowledgeable about the resources available to assist in the resolution of questions and concerns about this policy; and
 - c) be knowledgeable about the process available to assist in the reporting of Wrongdoing.
- 5.3** Managers will:
- a) encourage Employees, Academic Staff Members and Appointees reporting to them to become familiar with this policy;
 - b) fulfill their responsibilities under section 4.14 in a timely manner
 - c) direct allegations of Wrongdoing to the Protected Disclosure Advisor;

- d) maintain an environment that encourages communication, free of the fear of Reprisal, concerning compliance with this policy; and
- e) review an Employee's request to engage in any activity that may give rise to a Conflict of Commitment and, in a timely manner, inform the Employee in writing if their request has been approved or not.

5.4 ELT Managers will provide a written response to a request made under section 4.33 in a timely manner.

5.5 Protected Disclosure Advisor will:

- a) respond to inquiries / questions about making a disclosure of Wrongdoing; and
- b) receive reports of Wrongdoing and coordinate the University's response in accordance with the Procedure for Protected Disclosures.

6 O.P.A

6.1 "Outside Professional Activity" (O.P.A.) refers to those activities which the Academic Staff Member performs as a community service unless otherwise contractually arranged with the Governors or those for which the Academic Staff Member may receive remuneration.

O.P.A. is normally restricted to activities associated with the Academic Staff Member's major academic interests as an employee of the Governors.

6.2 The Governors of the University of Calgary (the "Governors") acknowledge the importance of O.P.A. to the professional development of Academic Staff Members and to the exercise of their University responsibilities. In recognition that O.P.A. offers valuable opportunities to enrich teaching and research, and to share the knowledge, skills, know-how and other resources of the institution with the community at large, the Governors encourage the involvement of Academic Staff Members in O.P.A.

6.3 O.P.A. must not detract from or interfere with the staff member's ability to render full service to the University in other areas of responsibility. Responsibility for ensuring compliance with this requirement rests with the Dean of the Faculty concerned.

6.4 The Governors expect Academic Staff Members will adhere to high standards of professional conduct and ethics. Academic Staff Members shall not use the University, its resources or the privileges of their appointment to compete unfairly with professionals outside the University.

6.5 An Academic Staff Member shall disclose in advance to the Dean, or Department Head if delegated, all proposed major O.P.A. The Academic Staff Member shall further disclose annually a record of all O.P.A. including a specific accounting of the time commitment as may be stipulated under Faculty guidelines.

6.6 No Academic Staff Member shall be required to violate ethical requirements of the member's profession or such legal constraints as may apply including the disclosure of the names of clients except as required pursuant to section 6.16 and 6.17.

- 6.7** The Academic Staff Member may, in the member's discretion, include the annual O.P.A. report in the Academic Performance Report to the President which is required under GPC procedures.
- 6.8** For the purposes of sections 6.1 to 6.27, major O.P.A. is defined to be any O.P.A. which involves any of the following:
- a) leave, as defined in Article 18 of the Collective Agreement: Leaves; or
 - b) the re-assignment or rescheduling of the Academic Staff Member's normal duties; or
 - c) the use of university space, resources, facilities, equipment, personnel; or
 - d) the employment of other Academic Staff Members, other employees of the University, or students qua students, under any form of contract of employment whatever; or
 - e) any O.P.A. which will occur during a period of leave pursuant to Articles 16, 17 or Article 18, Clause 18.4 of the Collective Agreement.
- 6.9** Compensation for O.P.A. authorized as part of the activities during a research and scholarship leave or professional fellowship leave shall not be considered "compensation" for the purposes of Article 16, Clause 16.19.1 or Article 17, Clause 17.11 of the Collective Agreement.
- 6.10** Compensation for O.P.A. authorized as part of the activities during an Assisted Study Leave shall not be considered "outside aid" for the purposes of Article 18, Clauses 18.4.10.1 and 18.4.10.2 of the Collective Agreement.
- 6.11** Documentation related to the disclosure of O.P.A. shall be treated with the strictest confidence and shall be made available only to those required to have access to such information pursuant to the provisions of sections 6.1 to 6.27.
- 6.12** Administrative decisions made by a Dean under the sections 6.1 to 6.27 shall be communicated to the Academic Staff Member in writing and shall state the reasons for each such decision.
- 6.13** The Parties recognize the need for flexibility at the Faculty and Department level in the development of appropriate O.P.A. guidelines relative to the legitimate interests of both the Governors and the individual Academic Staff Member. Towards this end, Faculty Councils or equivalent shall establish appropriate procedural guidelines consistent with sections 6.1 to 6.27. Deans have the responsibility to administer Faculty guidelines.
- 6.14** Faculty guidelines will normally include direction on the use of Faculty and Department resources, student participation, absences, reporting processes, and other matters as deemed appropriate from time to time. In addition to the requirement in section 6.5 a Faculty guideline may require prior disclosure of all O.P.A. Guidelines shall be subject to approval by the Provost and Vice-President (Academic).

- 6.15** A current copy of each guideline established pursuant to sections 6.12 and 6.13 shall be provided to the Faculty Association of the University of Calgary (the "Faculty Association") before such guideline shall come into effect.
- 6.16** Where faculties have not established guidelines pursuant to sections 6.12, 6.13, and 6.14, the Vice-President (Research) in consultation with the Provost and Vice-President (Academic) shall establish such guidelines. Such guidelines must conform to the requirements of sections 6.12, 6.13, and 6.14. Any such guidelines established may be replaced by guidelines subsequently developed by the Faculty Council pursuant to sections 6.12, 6.13, and 6.14.
- 6.17** An Academic Staff Member shall not engage in O.P.A. which creates or constitutes a conflict of interest in view of the Academic Staff Member's appointment to the academic staff of the University. In particular, Academic Staff Members shall disclose to the Dean all instances in which the Academic Staff Member has a significant interest in a business enterprise which does or proposes to do business with the University.
- 6.18** Should a Dean have reason to believe that an Academic Staff Member has or will have a conflict of interest with respect to a specific O.P.A., the Dean may request in writing that the Academic Staff Member respond in writing to specific questions, the answers to which are reasonably required to determine whether a conflict of interest exists or will exist. No such reasonable request shall be refused by the Academic Staff Member.
- 6.19** If the use of University resources is permitted for O.P.A., the requirements of applicable Governors policies and Faculty guidelines must be met and University programs shall have priority. Academic Staff Members who wish to use University resources for work on private commission or hire shall have a user's agreement with the Governors. Such agreement shall establish the terms of use, liability and indemnification, user fees and other related arrangements.
- 6.20** An Academic Staff Member who engages in O.P.A. shall covenant and agree to indemnify and hold harmless from and against any loss, injury or damage which the Governors may or could suffer arising in any way out of or in relation to such activity.
- 6.21** When engaged in O.P.A., Academic Staff Members shall not hold themselves to be agents of the University.
- 6.22** An Academic Staff Member may appeal decisions affecting O.P.A. only in accordance with the provisions of section 6.1 to 6.27.
- 6.23** Prior to initiating a formal appeal the Academic Staff Member shall meet with and seek to resolve the matter in discussion with the Dean or equivalent.
- 6.24** Should the matter fail to be resolved under section 6.22, the Academic Staff Member may appeal in writing to the Provost and Vice-President (Academic). At the request of either party a meeting shall be held in an attempt to resolve the matter.

- 6.25** If the matter is not resolved under section 6.23 a further appeal may be made to a panel of three members of the staff of the Governors holding academic appointments. Each of the Faculty Association and the Governors shall appoint one member to the panel. Together these two panel members shall jointly agree upon a third member, chosen from outside the Faculty in which the dispute arose, who shall be the Chair. No person shall serve on the panel if that person has been previously involved in the dispute. The panel may establish such procedures as it sees fit, subject only to the requirement that both the Governors and the Faculty Association are informed of the procedures at least five working days in advance of any hearing and that the procedures conform to the principles of natural justice and due process. The majority decision of the panel shall be final and binding on all parties.
- 6.26** If the original two appointees are unable to agree on a Chair within twenty (20) working days from the date the second nominee is appointed, the Chair will be selected by lot from a panel of seven senior staff members holding academic appointments. The panel shall be established annually, prior to July 1 by agreement of the President of the Faculty Association and the President of the Governors.
- 6.27** The Faculty Association shall have the right to have a representative present at steps of the appeal procedure pursuant to sections 6.23 and 6.24. The Faculty Association shall be notified at least five working days in advance of any meeting or hearing pursuant to these sections.

7 Procedure for Protected Disclosure

- 7.1** The Procedure for Protected Disclosures is set out in Appendix C, which forms part of this policy. The procedure provides that alleged breaches of this policy and other alleged protected disclosures may be reported to any of the following:
- a) a manager, supervisor, or dean;
 - b) the [Protected Disclosure Advisor](#) Telephone: 403-220-4086 Email: disclose@ucalgary.ca
 - c) the President of the University; or
 - d) the external service provider established for this purpose ConfidenceLine (1-800-661-9675).
- 7.2** The Procedure for Protected Disclosures provides that the Protected Disclosure Advisor will determine if the protected disclosure should be referred to an alternate process, dismissed for a valid reason or investigated under the procedure. If it is investigated under the procedure, the Protected Disclosure Advisor will appoint an investigator (which may be a committee). The investigator will follow the principles of natural justice, which concern procedural fairness and ensure a fair decision is reached by an objective decision-maker.

8 Appendices

- Appendix A – Specified Professional Associations
 Appendix B – Procedure for Conflict of Interest
 Appendix C – Procedure for Protected Disclosures

9 Related Policies

- 10 Related Procedures** [Procedure for Conflict of Interest](#)
[Procedure for Managing the Employment of Related Persons](#)
 Procedure for Protected Disclosures

11 Related Instructions/Forms

12 Related Operating Standards

- 13 Related Information** [Article 13 of the Collective Agreement](#)

- 14 References** [Alberta Public Agencies Governance Act](#)
 Conflicts of Interest Act
[Public Interest Disclosure Act](#)

- 15 History** This policy replaces the Code of Professional Ethics (1994); the Statement on Principles of Conduct (date unknown); the Conflict of Interest Policy (1987); the Board of University of Calgary Conflict of Interest Policy (2006); the Employment of Family Policy (1985); the Outside Professional Activity Policy (1985); and the Disclosure Protection Policy (2005).

Approved: December 3, 2014

Effective: January 1, 2015

Editorial Change: March 8, 2018 (definition of “Student”)

Amended and published: **[insert date of first business day after Ethics Commissioner’s approval]**

Effective: This policy becomes effective on April 30, 2019

Appendix A

Specified Professional Associations

Alberta Association of Architects

Alberta Association of Landscape Architects

Alberta College of Social Workers (ACSW)

Alberta Institute of Agrologists

Alberta Medical Association

Alberta Professional Planners Institute

Alberta Society of Professional Biologists

Alberta Teacher's Association

Alberta Urban Municipal Association

Alberta Veterinary Medical Association

American Geophysical Union

American Industrial Hygiene Association

American Psychological Association

Association for Applied Psychophysiology and Biofeedback

Association for Applied Sport Psychology

Association of Change management Professionals

Association of Professional Engineers and Geoscientists of Alberta (APEGA)

Association of Science & Engineering Technology Professionals of Alberta

Association of the Chemical Profession of Alberta

Barreau du Québec

Board of Canadian Registered Safety Professionals

Canadian Association of Information Technology Professionals

Canadian Association of Physicists

Canadian Athletic Therapists Association

Canadian Bar Association

Canadian Registration Board of Occupational Hygienists

Canadian Institute of Actuaries

Canadian Institute of Management

Canadian Institute of Planners

Canadian Institute of Quantity Surveyors

Canadian Medical Protective Agency (CMPA)

Canadian Physiotherapy Association

Canadian Professionals in Human Resources Alberta

Canadian Psychological Association

Canadian Society of Safety Engineering

Chambre des notaires du Québec

Chartered Financial Analysts Institute

Chartered Professional Accountants of Alberta

Chartered Professional Accountants of Canada

College and Association of Registered Nurses of Alberta (CARNA)

College of Alberta Psychologists

College of Alberta School Superintendents

College of Dietitians of Alberta

College of Physicians and Surgeons of Alberta (CPSA)

EcoCanada

Global Association of Risk Professionals (GARP)

Human Resources Institute of Alberta

International Institute of Business Analysts

International Society for Neurofeedback and Research

Law Society of Alberta

Law Society of British Columbia

Law Society of Manitoba

Law Society of New Brunswick

Law Society of Newfoundland and Labrador

Law Society of Nunavut

Law Society of Ontario

Law Society of Prince Edward Island

Law Society of Saskatchewan

Law Society of the Northwest Territories

Law Society of Yukon

Local Government Administrators Association

Nova Scotia Barristers' Society

Professional Risk Managers' international Association

Project Management Institute (PMI)

Project Management Professional

Royal College of Physician and Surgeons of Canada (RCPSC)

Society of Actuaries

Statistical Society of Canada

Supply Chain Management Association (SCMA)

Appendix B

University Policy

University Procedure

Instructions/Forms

Procedure for Conflict of Interest

Classification Human Resources	Table of Contents	Purpose	1
Approval Authority President		Scope	2
		Definitions	3
Implementation Authority Vice-President (Finance and Services)		Procedure	4
		Parent Policy	5
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- 1 Purpose** This procedure sets out the process for disclosing, documenting and managing Conflict of Interest as set out in the University's Code of Conduct. There are additional conflict of interest obligations for Researchers in the Research Integrity Policy. There may also be additional conflict of interest obligations for individuals participating in University committees, boards or panels as set out in the applicable terms of reference.
- 2 Scope** This procedure applies to Academic Staff Members, Appointees, Employees, Volunteer Appointees and Researchers.
- 3 Definitions** In this procedure:
- a) "Academic Staff Member" means an individual who is engaged to work for the University and is identified as an Academic Staff Member under Article 1 of the applicable Collective Agreement.
 - b) "Appointee" means an individual who is engaged to work for the University, or whose work is affiliated with the University, through a letter of appointment, including adjunct faculty, clinical appointments, visiting researchers and scholars.

- c) “Collective Agreement” means any collective agreement between the Governors of the University of Calgary and (i) the Faculty Association of the University of Calgary, (ii) the Alberta Union of Public Employees, (iii) the Graduate Students’ Association of the University of Calgary or (iv) any other association or union representing Employees, in each case, in effect at the relevant time.
- d) A “Conflict of Interest” exists when, in the course of carrying out their University responsibilities, an individual takes any action where they know or ought to know that the action may result in an actual or perceived Private Benefit to them or to a Related Person or Related Entity, including:
 - i. the individual takes part in a decision in the course of carrying out their University responsibilities, where they know or ought to know that the decision may result in an actual or perceived Private Benefit to them or to a Related Person or Related Entity; or
 - ii. the individual uses their position with the University to influence or seek to influence a University decision which they know or ought to know may result in an actual or perceived Private Benefit to them or to a Related Person or Related Entity; or
 - iii. the individual communicates information that they know or ought to know is not available to the general public and is obtained by the individual in the course of carrying out their University responsibilities or as a result of their University position in order to obtain or seek to obtain a Private Benefit for the individual or for a Related Person or Related Entity.
- e) “Dean” means the head of a faculty at the University or the head of the University’s Qatar Campus, or for Academic Staff Members who are not members of a faculty, the most senior administrative person of their school or other unit.
- f) “Employee” means an individual, other than an Academic Staff Member or Appointee, who is engaged to work for the University under an employment contract.
- g) “Manager” means:
 - i. for the President, the chair of the University’s Board of Governors;
 - ii. for an Academic Staff Member, Appointee or Employee of the University of Calgary (other than the President), the SLT Member who has management responsibility for the faculty, department or unit of which the Academic Staff Member, Appointee or other Employee is a member;
 - iii. for an Employee (other than the chief executive officer) of a subsidiary of the University, the chief executive officer of the subsidiary;
 - iv. for the chief executive officer of a subsidiary of the University, the SLT Member who has management responsibility for the subsidiary;

- v. for the chair of the University's Board of Governors, the chair of the Audit Committee of the University's Board of Governors; and
 - vi. for any other Volunteer Appointee, the chair of the University's Board of Governors, committee of the Board, Senate or University Alumni Board of Directors, as applicable.
- h) "Private Benefit" means a financial benefit, a personal benefit or furthering a private interest (and includes the avoidance of a negative consequence) other than a financial benefit, a personal benefit or a private interest that;
- i. of general application;
 - ii. affects a person as a member of a broad class, such as Academic Staff Members; or
 - iii. is inconsequential.
- i) "Related Entity" means:
- i. a public corporation of which the individual is a director or officer or the beneficial owner of more than 5% of the outstanding shares of any class;
 - ii. a 'for-profit' private corporation of which the individual is a director or officer;
 - iii. a 'for-profit' private corporation of which the individual is the beneficial owner of shares in the corporation, except:
 - 1. an association as defined in the Co-operatives Associations Act;
 - 2. a credit union incorporated under the Credit Union Act;
 - 3. a co-operative credit society incorporated by or under an Act of the parliament of Canada; or
 - 4. the United Farmers of Alberta Cooperative Limited;
 - iv. a non-profit corporation or an association of which the individual is a director or officer; and
 - v. a partnership of which the individual is a partner or of which one of the partners is a Related Entity of the individual by reason of clause (i),(ii), (iii) or (iv) above.
- j) "Related Person" means an individual who is directly associated with another individual and includes:
- i. a parent, sibling and child of the individual;
 - ii. a spouse or domestic partner of the individual; and
 - iii. any other person who is directly associated with the individual.
- k) "Research" means an undertaking intended to extend knowledge through disciplined inquiry or systematic investigation. The conduct of Research includes applying for and managing funds, collecting and analyzing data, and disseminating results.

- l) “Researcher” means an individual who undertakes Research under the auspices of or in affiliation with the University regardless of the source of funding.
- m) “SLT Member” means an Employee who, at the relevant time, is designated as a member of the Senior Leadership Team.
- n) “University” means the University of Calgary and its subsidiaries.
- o) “Volunteer Appointee” means a member of the University’s Board of Governors or a committee of the Board of Governors, a member of the Senate or a member of the Board of Directors of the University Alumni Association.

4 Procedure

Conflict of Interest

- 4.1 The University recognizes that Conflict of Interest will occur. Conflict of Interest will be disclosed and managed in a fair, open and practical manner.
- 4.2 An individual engaging in an activity or situation that involves a Conflict of Interest will report the Conflict of Interest so that it may be assessed and, when appropriate, managed.

Academic Staff Members

- 4.3 Academic Staff Members have an ongoing obligation to disclose to their Dean, in writing, any time a Conflict of Interest arises.
- 4.4 In particular, Academic Staff Members will disclose any Conflict of Interest relating to outside professional activity, hiring, promotion and tenure to their Dean in accordance with the applicable Collective Agreement provisions.
- 4.5 Academic Staff Members may have additional conflict of interest obligations and disclosure requirements in their role as Researchers as set out in 4.25 and 4.26.
- 4.6 The Dean will assess the Conflict of Interest and determine whether:
 - a) there is a Conflict of Interest;
 - b) the Conflict of Interest may be managed as an allowed Conflict of Interest; or
 - c) the Conflict of Interest is not able to withstand reasonable and independent scrutiny.
- 4.7 If the Dean determines that there is not a Conflict of Interest, the Dean will indicate in writing that there is no Conflict of Interest.
- 4.8 If the Dean determines that there is a Conflict of Interest that may be managed, the Dean will work with the Academic Staff Member to determine an appropriate conflict management plan.
- 4.9 Details of the conflict management plan will be documented and signed by the Dean and the Academic Staff Member.

- 4.10** If the Dean determines that there is a Conflict of Interest that cannot be appropriately managed, the Academic Staff Member will be required to take steps to eliminate the Conflict of Interest. The steps taken to eliminate the Conflict of Interest will be documented and signed by the Dean and the Academic Staff Member.
- 4.11** If a Dean has a financial or personal interest in the Conflict of Interest being assessed the Conflict of Interest will be assessed by the next appropriate senior reporting officer.
- 4.12** The Dean will keep all records required by this procedure in accordance with University document retention rules.
- 4.13** The Dean will administer or delegate the implementation and ongoing monitoring of the conflict management plan.

Employees, Appointees and Volunteer Appointees

- 4.14** Employees and Appointees with the authority to approve expenditures (including purchasing) or contracts on behalf of the University or the authority to approve the hiring of an individual on behalf of the University are required to complete the Conflict of Interest Disclosure Form annually. The Conflict of Interest Disclosure Form will be submitted no later than January 31 each year.
- 4.15** All Employees, Appointees and Volunteer Appointees are required to complete a Conflict of Interest Disclosure Form any time a new Conflict of Interest arises. A Volunteer Appointee who is subject to substantially similar Conflict of Interest disclosure requirements as a result of being a member of the University's Board of Governors or a committee of the Board of Governors, a member of the Senate or a member of the University Alumni Association Board may fulfill their obligations under this 4.15 by complying with those substantially similar Conflict of Interest disclosure requirements if the Conflict of Interest arises in their role as Volunteer Appointee.
- 4.16** The Employee, Appointee or Volunteer Appointee will submit the Conflict of Interest Disclosure Form to their Manager who will assess the Conflict of Interest and determine whether:
 - a) there is a Conflict of Interest;
 - b) the Conflict of Interest may be managed as an allowed Conflict of Interest; or
 - c) the Conflict of Interest is not able to withstand reasonable and independent scrutiny.
- 4.17** If the Manager determines that there is not a Conflict of Interest, the Manager will sign the Conflict of Interest Disclosure Form indicating that there is no Conflict of Interest.
- 4.18** If the Manager determines that there is a Conflict of Interest that may be managed, the Manager will work with the Employee, Appointee or Volunteer Appointee to determine an appropriate conflict management plan.

- 4.19** Details of the conflict management plan will be documented and signed by the Manager and the Employee, Appointee or Volunteer Appointee.
- 4.20** If the Manager determines that there is a Conflict of Interest that cannot be appropriately managed, the Employee, Appointee or Volunteer Appointee will be required to take steps to eliminate the Conflict of Interest. The steps taken to eliminate the Conflict of Interest will be documented on the Conflict of Interest Disclosure Form.
- 4.21** If a Manager has a financial or personal interest in the Conflict of Interest being assessed the Conflict of Interest Disclosure Form will be assessed by the next appropriate senior reporting officer or the Chair of the Board of Governors, as applicable.
- 4.22** The Manager will keep all records required by this procedure in accordance with University document retention rules.
- 4.23** The Manager will administer or delegate the implementation and ongoing monitoring of the conflict management plan.
- 4.24** Employees and Appointees may have additional conflict of interest obligations and disclosure requirements in their role as Researchers as set out in 4.25 and 4.26.

Researchers

- 4.25** Academic Staff Members, Employees and Appointees who engage in Research will comply with any additional conflict of interest requirements of the Research Integrity Policy, the applicable funding agency, the applicable research agreement and any additional standards set pursuant to 4.26.
- 4.26** The Vice-President (Research) has the authority to set additional standards for the disclosure and management of conflicts of interest related to Research.

5	Parent Policy	Code of Conduct
6	Related Policies	Research Integrity Policy
7	Related Instructions/Forms	Conflict of Interest Disclosure Form
8	Related Information	Research Compliance Website Instructions for US PHS Funding Disclosure of Financial Conflicts of Interest
9	History	

Appendix C



University Policy
University Procedure
Instructions/Forms

Procedure for Protected Disclosures

Classification Governance	Table of Contents Purpose 1
Approval Authority President	Scope 2
Implementation Authority General Counsel	Definitions 3
Effective Date March 1, 2006	Procedure 4
Latest Revision December 3, 2015	Parent Policy 5
	Related Procedures 6
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	History 9

- Purpose**
- 1 This procedure outlines the process by which:
 - a) individuals may make a Protected Disclosure;
 - b) the University will respond to a Protected Disclosure; and
 - c) individuals will be protected from Reprisals for making a Protected Disclosure.
- Scope**
- 2 This procedure applies to Protected Disclosures except Protected Disclosures involving allegations of breaches of the Research Integrity Policy, which will be dealt with under the Procedure for Investigating a Breach of Research Integrity. However, substantiated allegations of breaches of the Research Integrity Policy that are also breaches of the Act will be included in the Chief Officer's annual report pursuant to this procedure.
- Definitions**
- 3 In this procedure:
 - a) "Academic Staff Member" means an individual who is engaged to work for the University and is identified as an academic staff member under Article 1 of the collective agreement between the Faculty Association of the University of Calgary and the Governors of the University of Calgary in effect at the relevant time.
 - b) "Act" means the Public Interest Disclosure (Whistleblower Protection) Act (Alberta).

- c) "Appointee" means an individual who is engaged to work for the University, or whose work is affiliated with the University, through a letter of appointment, including adjunct faculty, clinical appointments and visiting researchers and scholars.
- d) "Business Days" means days that the University is open for business, excluding weekends and holiday closures.
- e) "Chief Officer" means the President of the University as set out in the Act.
- f) "Commissioner" means the Public Interest Commissioner of Alberta.
- g) "Complainant" means the person making a Protected Disclosure.
- h) "ConfidenceLine" means the external service provider established for receiving complaints under the Act.
- i) "Contractor" means an individual or a corporation or other entity who agrees to furnish materials to or perform services for the University for consideration.
- j) "Employee" means an individual, other than an Academic Staff Member or Appointee, who is engaged to work for the University under an employment contract.
- k) "Interference" means any direct or indirect action or use of authority to obstruct an individual's right to make a Protected Disclosure.
- l) "Investigation Report" means the written report summarizing the investigation and the Investigators findings including:
 - i. findings of fact;
 - ii. assessment of all of the evidence; and
 - iii. an analysis and conclusion as to whether or not the complaint was substantiated.
- m) "Investigator" means the person or persons appointed by the Protected Disclosure Advisor to investigate a Protected Disclosure.
- n) "Postdoctoral Scholar" means an individual who has completed a doctoral degree and is carrying out research at the University under the direction or mentorship of a supervising Academic Staff Member.
- o) "Protected Disclosure" means any disclosure:
 - i. made pursuant to the Act;
 - ii. involving an allegation of a breach of the Code of Conduct; or
 - iii. involving an allegation of a breach of any other University policy where a Respondent is an Academic Staff Member, Appointee, Contractor, Volunteer or Postdoctoral Scholar.

- p) "Protected Disclosure Advisor" is the University's designated officer pursuant to the Act who is responsible for:
- i. receiving, screening, and preliminary analysis of Protected Disclosures;
 - ii. managing Protected Disclosures;
 - iii. selecting and mandating the Investigator; and
 - iv. reviewing the Investigation Report and making recommendations to the Chief Officer.
- q) "Reprisal" means Retaliatory Measures that are taken against an individual because the individual has sought advice about making a Protected Disclosure, made a Protected Disclosure in good faith, co-operated in an investigation of a Protected Disclosure, or declined to participate in behaviour that would breach University policy.
- r) "Respondent" means the Employee, Academic Staff Member, Appointee, Postdoctoral Scholar, Student, Contractor or Volunteer who is alleged to have breached the Act, the Code of Conduct or where applicable, other University policy.
- s) Retaliatory Measures include:
- i. a dismissal, layoff, suspension, demotion or transfer, discontinuation or elimination of a job, change of job location, reduction in wages, change in hours of work or reprimand;
 - ii. any act that adversely affects the employment, working conditions, or education of the individual; and
 - iii. a threat to do any of the above.
- t) "Student" means an individual registered in a University course or program of study.
- u) "University" means the University of Calgary.
- v) "Volunteer" means an individual who, on a voluntary basis, provides a service or materials to the University.
- w) "Wrongdoing" means:
- i. a contravention of an Act of Parliament or of the legislature of Alberta, or of any regulations made under any such Act;
 - ii. an act or omission that creates:
 - i. a substantial and specific danger to the life, health or safety of individuals other than a danger that is inherent in the performance of the duties or functions of an Employee or Academic Staff Member; or
 - ii. a substantial and specific danger to the environment.
 - iii. gross mismanagement of public funds or a public asset;
 - iv. a contravention of University policies;

- v. knowingly directing or counseling an individual to commit a Wrongdoing mentioned in clauses (i) to (iv);
- vi. Interference; and
- vii. Reprisal.

Procedure

4 Making a Protected Disclosure

4.1 An individual may make a Protected Disclosure to any of the following:

- a) a manager, supervisor, or dean;
- b) the [Protected Disclosure Advisor](#)
Telephone: 403-220-4086
Email: disclose@ucalgary.ca
- c) the President of the University; or
- d) the external service provider established for this purpose:
ConfidenceLine (1-800-661-9675).

4.2 The Protected Disclosure should include the following information:

- a) the nature of the activity giving rise to the complaint;
- b) a description of all parties involved;
- c) any potential financial interests and rewards;
- d) possible violations of law or University policy; and
- e) any other information useful in evaluating the Protected Disclosure.

4.3 The Protected Disclosure may be submitted anonymously but the Complainant should be aware that this may limit the ability of the University to respond and investigate.

Receipt of a Protected Disclosure by a Manager, Supervisor, Dean or the President.

4.4 An individual, other than the Protected Disclosure Advisor, who receives a Protected Disclosure will respond in writing within five (5) Business Days after receipt to acknowledge receipt of the Protected Disclosure.

4.5 The individual receiving the Protected Disclosure will record the details of the Protected Disclosure in writing, including:

- a) the date and time the disclosure was received;
- b) the name of the Complainant (unless the Complainant has requested anonymity);
- c) the name(s) of the Respondent; and
- d) full details of the disclosure.

4.6 The individual receiving the Protected Disclosure will promptly refer the Protected Disclosure to the Protected Disclosure Advisor.

Receipt of a Protected Disclosure by the External Service Provider

4.7 A call assistant will answer a call to *ConfidenceLine*. A call assistant will listen to and record details of the Protected Disclosure. The call assistant may also ask the Complainant questions to clarify facts.

- 4.8 The Complainant may provide their name to the call assistant or choose to remain anonymous. In either case, the call assistant will provide the Complainant with a personal Caller Information Number (CIN) which will be the only identification required for subsequent calls by the Complainant to the *ConfidenceLine*.
- 4.9 The call assistant will create a report containing pertinent information about the Protected Disclosure. This information will be made available electronically to the Protected Disclosure Advisor.
- 4.10 The call assistant will provide the Complainant with information on whether the Protected Disclosure is being investigated if the Complainant calls back.

Receipt of a Protected Disclosure by the Protected Disclosure Advisor

- 4.11 If the Protected Disclosure has not yet been acknowledged, the Protected Disclosure Advisor will acknowledge receipt of the Protected Disclosure within five (5) Business Days after it is received by the Protected Disclosure Advisor.
- 4.12 The Protected Disclosure Advisor will review the following with the Complainant if the Complainant is not anonymous:
- a) this procedure;
 - b) potential alternative procedures for dealing with the matter;
 - c) confidentiality protections;
 - d) the record keeping process; and
 - e) the commitment of the University to protect the Complainant from Reprisal.
- 4.13 Within ten (10) Business Days of receipt of the Protected Disclosure by the Protected Disclosure Advisor, the Protected Disclosure Advisor will decide if:
- a) the disclosure should be dealt with as a Protected Disclosure of Wrongdoing;
 - b) the disclosure should be referred to an alternate process;
 - c) the disclosure should be dismissed for being frivolous or vexatious or made in bad faith; or
 - d) the disclosure should be dismissed for another valid reason.
- 4.14 Within the ten (10) Business Days of receipt of the Protected Disclosure by the Protected Disclosure Advisor, the Protected Disclosure Advisor will inform the *ConfidenceLine* or the Complainant, if the Complainant is not anonymous, of the decision and what the next steps are, if any.
- 4.15 The Protected Disclosure Advisor will refer the Protected Disclosure to the Commissioner as soon as reasonably practicable if the Protected Disclosure Advisor reasonably believes that the matter to which the Protected Disclosure relates constitutes an imminent risk of substantial

or specific danger to the life, health or safety of individuals, or to the environment.

Protecting the Complainant

4.16 The Protected Disclosure Advisor may appoint an advocate for the Complainant to assist in managing the Complainant's welfare. The advocate will:

- a) examine the immediate welfare and protection needs of the Complainant;
- b) ensure the Complainant is aware of employee assistance programs or other supports;
- c) listen to any concerns of harassment or intimidation, or Reprisal for making a Protected Disclosure; and
- d) act as liaison and guide pertaining to the process.

Investigating a Protected Disclosure

4.17 The Protected Disclosure Advisor will appoint an Investigator to carry out the investigation. The Investigator may be an individual internal or external to the University or a committee. When the Protected Disclosure Advisor appoints a committee, the Protected Disclosure Advisor will appoint one member of the committee as chair.

4.18 The objectives of the investigation will be:

- a) to collect information relating to the allegation. This may involve steps to protect or preserve documents, materials and equipment and to interview witnesses;
- b) to consider the information collected and to draw conclusions objectively and impartially;
- c) to maintain procedural fairness in the treatment of the Complainant, Respondent and witnesses; and
- d) If applicable, to make recommendations arising from the conclusions drawn concerning non-disciplinary remedial or other appropriate action.

4.19 The Protected Disclosure Advisor will draw up terms of reference for the investigation of a Protected Disclosure and obtain authorization for those terms from General Counsel prior to appointing the Investigator.

4.20 The terms of reference will set a date, no later than 110 Business Days after the receipt of the Protected Disclosure, by which the Investigation Report is to be concluded and will describe the resources available to the Investigator to complete the investigation within the time allotted.

4.21 Pursuant to the Act, the Chief Officer may approve an extension of time to complete an investigation up to thirty (30) Business Days when requested by the Investigator. Any further extension of time must be approved in advance by the Commissioner.

- 4.22 The terms of reference will require the Investigator to update the Protected Disclosure Advisor on the progress of the investigation who, in turn, will keep General Counsel informed of the progress.
- 4.23 The Investigator will prepare an investigation plan for approval by the Protected Disclosure Advisor. The plan will list the issues to be substantiated and describe the avenue of inquiry. The plan will ask the following questions:
- a) What is being alleged?
 - b) What are the possible findings or offenses?
 - c) What are the facts in issue?
 - d) How is the inquiry to be conducted?
 - e) What resources are required?
- 4.24 If the Complainant can be contacted, the Complainant will, at this point in the process, be:
- a) notified by the Investigator that they have been appointed to conduct the investigation;
 - b) asked to clarify any matters; and
 - c) asked to provide any additional material the Complainant might have.
- 4.25 The Investigator will follow the principles of natural justice. The principles of natural justice concern procedural fairness and ensure a fair decision is reached by an objective decision-maker. Maintaining procedural fairness protects the rights of individuals and enhances public confidence in the process.

The University will show consideration for the following precepts in ensuring procedural fairness:

- a) the Respondent is entitled to know the allegations made against them and must be given the right to respond. This does not mean the Respondent must be advised of the allegation as soon as the disclosure is received or the Investigation has commenced; and
- b) if the Investigator is contemplating making a report adverse to the interests of any person, that person should be given the opportunity to put forward further material that may influence the outcome of the report and that person's defense should be set out in the report.

Conducting the Investigation

- 4.26 Everyone involved in the investigation of a Protected Disclosure will keep all information relating to the Protected Disclosure confidential except for information required to be shared under this policy or information shared with those who have a legitimate need for the information.
- 4.27 The Investigator will make notes of all discussions, phone calls, and interviews with witnesses.

- 4.28 If the Complainant or Respondent are represented by a union or faculty association, they will be advised of their right to representation and may request to have a union or faculty association representative present during any investigation meetings or interviews.
- 4.29 The Protected Disclosure Advisor will advise the Complainant of the progress of the Investigation and whether the complaint was substantiated or not.

Final Report of the Investigator

- 4.30 When the Investigation is complete, the Investigator will submit a written investigation report to the Protected Disclosure Advisor. The report will include:
- a) the allegation;
 - b) an account of all relevant information received and, if the Investigator has rejected evidence as being unreliable, the reasons for this conclusion;
 - c) the conclusions reached and the basis for them; and
 - d) if the Investigator has found evidence of wrongdoing, recommendations for non-disciplinary action that should be taken to prevent the conduct from continuing or occurring in the future as well as action that should be taken to remedy any harm or loss arising from the misconduct.
- 4.31 If the investigation has identified any other possible violations of the Act or University policy, the Investigator should include the possible violations in the report. The possible violations identified in the report will be dealt with by the Protected Disclosure Advisor in accordance with this procedure.
- 4.32 The report will be accompanied by all records created or received by the Investigator in the course of the investigation.
- 4.33 The report will not include information that leads or could lead to the identification of the Complainant if the Complainant has requested anonymity.

Outcome of the Investigation

- 4.34 If the Protected Disclosure Advisor is satisfied that the report brings the Investigation to an end, the Protected Disclosure Advisor will provide a report to General Counsel including:
- a) whether the Protected Disclosure was substantiated; and
 - b) recommendations for non-disciplinary corrective action.
- 4.35 If the Protected Disclosure included a violation of the Act, the Protected Disclosure Advisor will provide the report referred to in 4.34 to the Chief Officer.

4.36 If the complaint is substantiated, the Protected Disclosure Advisor will provide the relevant dean or manager with the report or a summary of the report's findings and recommendations.

4.37 A Respondent who is found to have committed a breach of the Act or of University policy may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Disciplinary action will be taken in accordance with the provisions of any applicable collective agreement or any applicable policy relating to Student conduct.

Records

4.38 Records pertaining to a Protected Disclosure are the property of the University and will be retained in accordance with University document retention rules. Records will also be safeguarded to ensure confidentiality and, when applicable, the Complainant's anonymity.

4.39 The Protected Disclosure Advisor will provide the Chief Officer and the Chair of the Board of Governors with an annual statistical summary of all Protected Disclosures received under this procedure including those handled informally or referred to an alternate process.

Chief Officer's Annual Report

4.40 The Chief Officer will prepare a report annually on all Protected Disclosures received which involve a violation of the Act. This report will include:

- a) the number of disclosures received by the Protected Disclosure Advisor that involve a violation of the Act, the number of disclosures that were acted on and the number of disclosures not acted on by the Protected Disclosure Advisor;
- b) the number of investigations commenced by the Protected Disclosure Advisor as a result of Protected Disclosures involving violations of the Act; and
- c) in the case of an investigation that results in a finding of a violation of the Act, a description of the violation and any recommendations made or corrective measures taken in relation to the violation or the reasons why no corrective action was taken.

4.41 The annual report of the Chief Officer will be included in the annual report of the University and will be made publically available upon request.

Parent Policy	5	Code of Conduct
Related Policies	6	Harassment Policy Fraud Policy
Related Information	7	ODEPD website
References	8	Public Interest Disclosure (Whistleblower Protection) Act

Public Interest Disclosure (Whistleblower Protection) Regulation

History

9 *Editorial Change:* May 15, 2018 (definition of "Student")

Approved: February 10, 2005

Effective: March 1, 2006

Revised: December 3, 2015



**GENERAL FACULTIES COUNCIL EXECUTIVE COMMITTEE
Report to General Faculties Council
for the meeting held January 29, 2019**

This report is submitted on behalf of the General Faculties Council (GFC) Executive Committee (EC).

Nominations for Election by GFC of Two Academic Staff Members to an Advisory Review Committee for the Dean of the Faculty of Science

The EC named, in rank order, academic staff members to be approached by the University Secretariat to stand for election to the Advisory Review Committee for the Dean of the Faculty of Science. The first four nominees to agree to stand for election will appear on the ballot at the February 14, 2019 meeting of the GFC, and two persons will be elected.

Nominations for Election by GFC of Three Academic Staff Members to an Advisory Search Committee for a Vice-President (Research)

The EC named, in rank order, academic staff members to be approached by the University Secretariat to stand for election to the Advisory Search Committee for a Vice-President (Research). The first six nominees to agree to stand for election will appear on the ballot at the February 14, 2019 meeting of the GFC, and three persons will be elected.

Approval of the 2019-2020 and 2020-2021 GFC and GFC Standing Committees Meeting Schedules

The EC reviewed the proposed 2019-2020 and 2020-2021 meeting schedules for the GFC and the GFC standing committees, and it was noted that the Teaching and Learning Committee and the Research and Scholarship Committee will be flipped to Tuesdays and Thursdays respectively starting in 2020-2021. The EC expressed satisfaction at having its meetings held on Wednesdays starting in 2019-2020. The EC made changes to the scheduling of the Academic Planning and Priorities Committee for June 2020 and June 2021, and then approved the schedules.

Approval of the 2019 GFC Member Survey

The EC reviewed the proposed survey, which will be sent to the GFC members in March 2019. The EC made several revisions, including the addition of a question seeking suggestions for how meaningful contributions by GFC members can be encouraged, and then approved the survey for use.

Acceptable Use of Electronic Resources and Information Policy

The EC reviewed and offered feedback on the draft Acceptable Use of Electronic Resources and Information Policy. In particular, the EC requested that a diagram or table be added to the documentation going forward, clearly setting out how the three existing University policies (Acceptable Use of Information Assets Policy, Electronic Communications Policy, and Acceptable Use of Personal Information in Enterprise Information

Systems Policy) are being consolidated into the new Acceptable Use of Electronic Resources and Information Policy.

During discussion, it was further suggested that the purpose of the new policy be more clearly described, that the tone of the new policy be softened to emphasise protection over policing, and that the proponent delay bringing the new policy to any more of the GFC standing committees until after an in-depth consultation with the Faculty Association has occurred.

Review of the Draft February 14, 2019 GFC Agenda

The EC reviewed the draft February 14, 2019 GFC Agenda.

2019-2020 GFC Elected Membership Distribution

The EC received for information the results of the calculation of the distribution of the 2019-2020 GFC elected academic staff member seats, and it was reported that the analysis of the population data results in the Cumming School of Medicine gaining one seat and the Werklund School of Education losing one seat for 2019-2020.

Ed McCauley, Chair and Dru Marshall, Vice-Chair

ACADEMIC PLANNING AND PRIORITIES COMMITTEE
Report to General Faculties Council (GFC)
for the meeting held January 14, 2019

This report is submitted on behalf of the Academic Planning and Priorities Committee (APPC).

Approval of Curriculum Changes for the MA and PhD in Philosophy

The Graduate Academic Program Subcommittee brought forward a proposal to create two professional development courses for students enrolled in the Master of Arts (MA), thesis-based and Doctor of Philosophy (PhD) programs, and also requested that the new courses be added to the graduation requirements for each program.

The APPC discussed the increasing trend in graduate education to offer courses which focus on building research and professional development skills.

The APPC suggested that the program should default to requiring PhD students who have completed the course at the MA level to complete the course again, given the timing between taking it as an MA and a PhD student, and as PhD students are likely to get something different out of it.

The APPC approved the curriculum changes for the MA and PhD in Philosophy.

Approval of the A. Suspension and Termination of the BComm Concentration in Energy Management; B. Termination of the BComm Concentration in Petroleum Land Management; and C. Creation of the BComm Concentration in Energy and Professional Land Management

The Academic Program Subcommittee brought forward a proposal for the Haskayne School of Business to suspend and terminate the Bachelor of Commerce (BComm) Concentration in Energy Management (EM), terminate the BComm Concentration in Petroleum Land Management (PLM), and create a BComm Concentration in Energy and Professional Land Management (EPLM). The APPC learned that by combining the two concentrations into one, students will be able to gain a more versatile skillset and be better equipped to obtain employment in the energy sector. The creation of a single concentration will also improve efficiencies for the Faculty.

The APPC discussed the decline in enrolment in both the EM and PLM concentrations and how the creation on the EPLM will address this, and the opportunities for students in the EM Concentration to change to the EPLM Concentration.

The APPC approved the suspension and eventual termination of the Bachelor of Commerce (BComm) Concentration in EM, the termination of the BComm Concentration in PLM, and the creation of the BComm Concentration in EPLM.

ACADEMIC PLANNING AND PRIORITIES COMMITTEE
Report to General Faculties Council (GFC)
for the meeting held February 4, 2019

This report is submitted on behalf of the Academic Planning and Priorities Committee (APPC).

Approval of Biology-based Admissions route to the Schulich School of Engineering

The Calendar and Curriculum Subcommittee (CCS) brought forward a proposal for the Schulich School of Engineering (SSE) to create a new Biology-based admissions route into the SSE undergraduate programs to attract students who have taken Biology 30, but not Physics 30. Students admitted through the new route will need to complete the Bioengineering Summer Institute to gain the necessary physics skills required for engineering. It was noted that this change will create a more diverse applicant pool and aligns with the SSE's Strategic Plan diversity priority.

The APPC discussed the supports that will be put in place in the event that a student does not successfully complete the Bioengineering Summer Institute, ongoing tutoring opportunities, the rationale why an applicant would choose to complete the Bioengineering Summer Institute over completing Physics 30 as a summer course, the reasons for offering the Bioengineering Summer Institute through Continuing Education, and possible housing issues for non-commuter students.

The APPC suggested that SSE look at providing the students admitted to the Bioengineering Summer Institute with some sort of orientation, prior to starting, to ensure that they know what supports are in place for students, and that the SSE investigate with Residence Services whether housing could be made available to students in this group prior to the regular move-in date.

The APPC approved the creation of a Biology-based admissions route into the SSE undergraduate programs.

Approval of a New Calendar Entry for the Academic Turnaround Program

The CCS brought forward a proposal to create a central entry for the Academic Turnaround Program (ATP) in the Academic Regulations section in the University Calendar. The ATP is currently offered by the Faculty of Arts, the Faculty of Science, the SSE and the Haskayne School of Business. It was reported that there are also conversations taking place to expand the ATP program to every Faculty.

The APPC discussed the value of this program for retaining students who would otherwise leave the institution, and for improving the student experience. The APPC also discussed the percentage of students who complete the ATP and go on to graduate, the specific demographic features of the population of students who are required to withdraw, the ATP course requirements, how the ATP program integrates the Mental Health Strategy, and initiatives in place to assist students prior to being required to withdraw.

The APPC approved the creation of a central entry in the Academic Regulations section of the Calendar for the ATP.

Approval of Revisions to the Calendar Sections regarding the Aboriginal Student Access Program

The CCS brought forward a proposal to change the name of the Aboriginal Student Access Program (ASAP) to the Indigenous Students Access Program (ISAP) to align with the University's Indigenous Strategy, and some additional changes to strengthen the program, including structuring the program to enhance the cohort model and revising the course requirements to better prepare students for transition into a Faculty at the end of the program.

The APPC discussed the transition process for students to move from the program into a Faculty and the success rates associated with this, how this program aligns with the recommendations in the Truth and Reconciliation Commission of Canada report, attendance requirements for the Native Centre sessions, and advising supports for helping students choose their elective courses.

The APPC approved the revisions to the ASAP program.

Approval of Revisions to the Admissions Calendar Sections

The CCS brought forward a proposal to revise the Admissions Calendar sections. It was noted that the changes were made in consultation with the Faculties and that the edits are intended to provide greater clarity and transparency for the campus community and to those seeking admission to the institution.

The APPC discussed the deferral of admission process and the options for students who have extenuating circumstances who miss the deadline to apply for deferred admission.

The APPC approved the revisions to the Admissions Calendar Sections.

APPC Member Survey Results

The APPC reviewed the results of the mid-year membership survey. The survey is used as a tool to gauge whether the Committee is functioning optimally. In general, the feedback received from the Committee members was very positive, members have a clear understanding of their role on the Committee and feel that the Committee is operating effectively.

Dru Marshall, Co-Chair

Tara Beattie, Academic Co-Chair



RESEARCH AND SCHOLARSHIP COMMITTEE
Report to General Faculties Council
for the meeting held January 22, 2019

This report is submitted on behalf of the Research and Scholarship Committee (RSC).

Major Provincial and Federal Research Initiatives

The RSC received a presentation on the 2018-2019 provincial Major Innovation Fund and the Tri-Council's inaugural New Frontiers in Research Fund, including information about the programs' goals, areas of focus, criteria and eligibility, and timelines.

Information Technologies Strategic Plan

The RSC received a presentation on the Information Technologies (IT) Strategic Plan, which was approved by the Board of Governors on December 14, 2018.

The RSC learned that the IT Strategic Plan will continue the University's transition from a decentralized model/high risk profile to a hybrid centralized model/managed risk profile, that the IT Strategic Plan will support the achievement of the goals of the University's Eyes High Strategy, Academic Plan, and Research Plan, and that the IT Strategic Plan has focus on impactful change and the improvement of data storage and computing power, common platforms, and various supports. The presenter emphasised that effective customer service is a priority.

The RSC discussed how improved in-house computing power could affect researchers' relationships with Compute Canada, and that the University's Research Computing Services unit can assist researchers with their computing needs. The RSC also discussed that metrics will be needed in order to assess the success of the IT Strategic Plan. In response to a question, the presenter reported that one of IT's greatest current challenges is to engage the University community because IT functions have been siloed for a long time.

Prepared by the University Secretariat on behalf of Robert Thompson, Co-Chair Designate and Andy Knight, Academic Co-Chair



TEACHING AND LEARNING COMMITTEE
Report to General Faculties Council
for the meeting held January 24, 2019

This report is submitted on behalf of the Teaching and Learning Committee (TLC).

Indigenous Strategy/ii'taa'poh'to'p Engagement

The TLC received a presentation on the implementation of the Indigenous Strategy/ii'taa'poh'to'p, including information about the advisory circle, implementation committee and its subcommittees, and current initiatives.

The presenter discussed with the TLC the purpose and meaning of the Treaty 7 traditional territories acknowledgement statement, and that the implementation of the Indigenous Strategy/ii'taa'poh'to'p will involve deep learning and growth of relationships.

Further discussion included that curriculum will evolve across disciplines over time to incorporate Indigenous knowledge and methodologies, and that while there may be well-intentioned efforts to protect the time of Indigenous faculty members these persons should be allowed to decide for themselves which events and service opportunities they wish to participate in. The TLC learned that it is possible to obtain a temporary license in order to hold a smudging ceremony in a University space, and that Financial Services has a process in place for paying cash honorariums.

Acceptable Use of Electronic Resources and Information Policy

The TLC reviewed and offered feedback on the draft Acceptable Use of Electronic Resources and Information Policy, which consolidates three existing University policies (the Acceptable Use of Information Assets Policy, Electronic Communications Policy, and Acceptable Use of Personal Information in Enterprise Information Systems Policy) and aligns with the University's Information Assets Management Policy.

The TLC discussed that clarity is needed regarding when signed disclosure agreements are needed, and that a fulsome definition of 'electronic resources' is necessary as this phrase is used throughout the University (e.g. by Libraries and Cultural Resources). The TLC further discussed that the scope of the policy must be definitively set out, for reasons such as because 'electronic resources' is a broad phrase and because ucalgary email addresses remain active after a student becomes an alumnus. It was noted that it will be challenging to enforce the policy in some cases, and the proponent agreed to consider these issues.

Supplementary Course Fees

The TLC received a presentation on supplementary course fees at the University, including what these include, the various approval authorities, and the process to follow to have a supplementary course fee approved. The TLC learned that mandatory supplementary course fees must be necessary for the successful completion of a course (e.g. field course accommodation and travel).

The TLC discussed that it is ideal for students to receive course outlines in advance of a course starting, so that there is clear understanding of whether there will be any required or optional supplementary course fees.

The TLC also discussed that Libraries and Cultural Resources makes textbooks and associated materials available so that students do not necessarily have to purchase these, and that students can purchase some things (e.g. lab coats) from any source.

NSSE Action Plans and Updates

The TLC received an update on the development of units' National Survey of Student Engagement (NSSE) action plans and responses related to the 2017 NSSE data, learned that the NSSE Support Team has been offering a series of workshops to aid in this effort, and was advised that a NSSE action report is being prepared.

The TLC was reminded that the NSSE will be executed again in 2020.

Standing Reports

The TLC received reports on the current initiatives of the Taylor Institute for Teaching and Learning, Students' Union, and Graduate Students' Association.

Leslie Reid, Co-Chair, and Dawn Johnston, Academic Co-Chair

Senate Meeting Notes for General Faculties Council

Meeting Date: February 7, 2019.

Note taker: Andrew Estefan, GFC representative.

1. Welcome, greeting, safety moment.
2. Approval of the senate meeting agenda.
3. Consent agenda and approval of minutes of meeting on December 6, 2018.
4. Honorary degree nominations: In-camera presentation and vote.
5. Remarks
 - 5.1. Chancellor and Senate Chair, Deborah Yedlin.
 - 5.1.1. Welcome to Dr. Ed. McCauley to the senate.
 - 5.2. President, Dr. Ed. McCauley.
 - 5.2.1. Dr. McCauley emphasized the timing of the mid-year presidential transition. While the executive leadership team are working to maintain the smooth operations of the university, consultations are also underway across the institution to determine future directions.
6. Reports.
 - 6.1. Graduate Students' Association – Marcela Lopez
 - 6.1.1. Feb 22nd is the graduate student conference at the Taylor Institute. RSVP on graduate student website if interested.
 - 6.1.2. Elections for VP positions will happen soon.
 - 6.2. Students' Union report – Anayat Sidhu
 - 6.2.1. Students' Union general elections are coming up soon. The online campaigns begin on February 15. On campus campaigns begin February 25.
 - 6.2.2. Sexual and gender awareness week is Feb 11-15.
 - 6.2.3. The Students' Union offered thanks for donations to the food bank for the holiday period.
7. Senate standing committee reports – Provided in writing.
8. Special item from the Student Scholarship and Bursaries Committee.

June 20th is the chancellor's golf tournament. Ideas for assistance with sponsorships are being sought by the committee. Items for a silent auction are also being sought.
9. Presentation on social media and senators – Kim Lawrence and Samantha Paterson.

Senate received a presentation on the role of social media in the university, the benefits, advantages, and cautionary tales of engaging with social media.
10. Presentation on Three-Minute Thesis competition – Chidera Nwaroh.

Senate received a presentation on this competition, including a demonstration of last year's winning entry for the University of Calgary. The next round of the competition is being held at the University of Calgary on April 3rd beginning at 5pm.

11. Presentation on the University of Calgary Research Strategy (2018 – 2023 research plan)
– Penny Paxman and Susan Skone.
12. Announcements of events potentially of interest to senators.

UNIVERSITY POLICIES/PROCEDURES 2017-2018
as of 2019-02-04

Title	Stage	Drafting Team
Acceptable Use of Electronic Resources and Information Policy	Consultation	Andrew Goddard; Katharine Kinnear;
Code of Conduct Policy	Consultation	Karen Jackson;
Graduate Student Supervision Policy	Consultation	Deborah Book; Robin Yates;
Student Academic Misconduct Policy	Consultation	Deborah Book; Susan Barker; Robin Yates;



**GENERAL FACULTIES COUNCIL
INFORMATION BRIEFING NOTE**

SUBJECT: **Approved 2019-2020 and 2020-2021 GFC and GFC Standing Committees Meeting Schedules**

PURPOSE

The 2019-2020 and 2020-2021 meeting schedules for the General Faculties Council (GFC) and the GFC standing committees are presented to the GFC for information.

KEY CONSIDERATIONS/POINTS

The University Secretariat has prepared schedules that allow for the efficient flow of items through the governance system.

Changes include:

- Setting the calendar for each of the next two years
- Moving the Campus and Facilities Development Subcommittee meetings to bi-monthly based on a review of the business of the Committee since inception
- Moving the GFC Executive Committee to Wednesdays to accommodate other proposed changes to the calendar and create a consistent time for the Committee to meet
- Removing the Academic Planning and Priorities Committee meeting in early September and adding a late June meeting to ensure any last minute business has gone through the Committee prior to September
- Moving the Teaching and Learning Committee (TLC) meetings to Tuesdays and the Research and Scholarship Committee meetings to Thursdays, effective September 2020, in an attempt to fix quorum problems with TLC and to meet requests from TLC members

BACKGROUND

The GFC Executive Committee approves the GFC and GFC standing committees meeting schedule each year.

ROUTING AND PERSONS CONSULTED

<u>Progress</u>	<u>Body</u>	<u>Date</u>	<u>Approval</u>	<u>Recommendation</u>	<u>Discussion</u>	<u>Information</u>
	GFC Executive Committee	2019-01-29	X			
X	General Faculties Council	2019-02-14				X

NEXT STEPS

The meeting schedules will be communicated to the GFC standing committees, and the schedules will be posted on the GFC webpage.

If adjustments to a meeting schedule are needed after approval, the University Secretariat will make the adjustments in coordination with the appropriate GFC standing committee Co-Chairs and communicate as appropriate.

SUPPORTING MATERIALS

1. GFC and GFC Standing Committees Meeting Schedule for 2019-2020
2. GFC and GFC Standing Committees Meeting Schedule for 2020-2021

2019-20 University of Calgary General Faculties Council and Standing Committees Schedule			
	Date	Time	Location
General Faculties Council Meetings			
GFC Orientation	Thursday, September 12, 2019	1:30 – 3:00 pm	ST147
regular meeting	Thursday, October 10, 2019	1:30 – 4:30 pm	ST147
regular meeting	Thursday, November 7, 2019	1:30 – 4:30 pm	ST147
regular meeting	Thursday, December 12, 2019	1:30 – 4:30 pm	ST147
regular meeting	Thursday, January 16, 2020	1:30 – 4:30 pm	ST147
regular meeting	Thursday, February 13, 2020	1:30 – 4:30 pm	ST147
regular meeting	Thursday, March 12, 2020	1:30 – 4:30 pm	ST147
regular meeting	Thursday, April 9, 2020	1:30 – 4:30 pm	ST147
regular meeting	Thursday, May 14, 2020	1:30 – 4:30 pm	ST147
regular meeting	Thursday, June 11, 2020	1:30 – 4:30 pm	ST147
Standing Committee Meetings			
Standing Committee Chairs Orientation	TBD	TBD	A167
Standing Committees Orientation	Wednesday, September 11, 2019	1:30 – 3:00 pm	A167
Academic Planning and Priorities Committee			
regular meeting	Monday, September 30, 2019	2:00 – 4:00 pm	A167
regular meeting	Monday, October 21, 2019	2:00 – 4:00 pm	A167
regular meeting	Monday, November 4, 2019	2:00 – 4:00 pm	A167
regular meeting	Monday, November 25, 2019	2:00 – 4:00 pm	A167
regular meeting	Monday, December 16, 2019	2:00 – 4:00 pm	A167
regular meeting	Monday, January 13, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, February 3, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, February 24, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, March 16, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, March 30, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, April 13, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, May 4, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, May 25, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, June 8, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, June 22, 2020	2:00 – 4:00 pm	A167
Academic Program Subcommittee			
regular meeting	Monday, September 16, 2019	2:00 – 4:00 pm	A167
regular meeting	Monday, October 7, 2019	2:00 – 4:00 pm	A167
regular meeting	Monday, November 18, 2019	2:00 – 4:00 pm	A167
regular meeting	Monday, December 16, 2019	2:00 – 4:00 pm	A100a
regular meeting	Monday, January 27, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, March 9, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, April 20, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, May 11, 2020	2:00 – 4:00 pm	A167
Calendar and Curriculum Subcommittee			
regular meeting	Thursday, September 19, 2019	9:00 – 11:00 am	A167
regular meeting	Thursday, October 24, 2019	9:00 – 11:00 am	A167
regular meeting	Thursday, November 21, 2019	9:00 – 11:00 am	A167
regular meeting	Thursday, December 19, 2019	9:00 – 11:00 am	A167
regular meeting	Thursday, January 23, 2020	9:00 – 11:00 am	A167
regular meeting	Thursday, February 20, 2020	9:00 – 11:00 am	A167
regular meeting	Thursday, March 19, 2020	9:00 – 11:00 am	A167
regular meeting	Thursday, April 23, 2020	9:00 – 11:00 am	A167
regular meeting	Thursday, May 21, 2020	9:00 – 11:00 am	A167

Campus and Facilities Development Subcommittee			
regular meeting	Tuesday, October 22, 2019	9:00 – 11:00 am	A167
regular meeting	Tuesday, December 17, 2019	9:00 – 11:00 am	A167
regular meeting	Tuesday, February 11, 2020	9:00 – 11:00 am	A167
regular meeting	Tuesday, April 21, 2020	9:00 – 11:00 am	A167
GFC Executive Committee			
appointment-work meeting	Wednesday, September 4, 2019	2:00 – 4:00 pm	A167
regular meeting	Wednesday, September 25, 2019	2:00 – 4:00 pm	A167
regular meeting	Wednesday, October 23, 2019	2:00 – 4:00 pm	A167
regular meeting	Wednesday, November 27, 2019	2:00 – 4:00 pm	A167
regular meeting	Wednesday, December 18, 2019	2:00 – 4:00 pm	A167
regular meeting	Wednesday, January 29, 2020	2:00 – 4:00 pm	A167
regular meeting	Wednesday, February 26, 2020	2:00 – 4:00 pm	A167
regular meeting	Wednesday, March 25, 2020	2:00 – 4:00 pm	A167
regular meeting	Wednesday, April 22, 2020	2:00 – 4:00 pm	A167
regular meeting	Wednesday, May 20, 2020	2:00 – 4:00 pm	A167
Graduate Academic Program Subcommittee			
regular meeting	Wednesday, September 18, 2019	2:00 – 4:00 pm	A167
regular meeting	Wednesday, October 16, 2019	2:00 – 4:00 pm	A167
regular meeting	Wednesday, November 20, 2019	2:00 – 4:00 pm	A167
regular meeting	Wednesday, December 18, 2019	2:00 – 4:00 pm	A100a
regular meeting	Wednesday, January 22, 2020	2:00 – 4:00 pm	A167
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regular meeting	Wednesday, April 22, 2020	2:00 – 4:00 pm	A100a
regular meeting	Wednesday, May 27, 2020	2:00 – 4:00 pm	A167
Research and Scholarship Committee			
regular meeting	Tuesday, September 17, 2019	2:00 – 4:00 pm	A167
regular meeting	Tuesday, October 22, 2019	2:00 – 4:00 pm	A167
regular meeting	Tuesday, November 19, 2019	2:00 – 4:00 pm	A167
regular meeting	Tuesday, December 17, 2019	2:00 – 4:00 pm	A167
regular meeting	Tuesday, January 21, 2020	2:00 – 4:00 pm	A167
regular meeting	Tuesday, February 18, 2020	2:00 – 4:00 pm	A167
regular meeting	Tuesday, March 17, 2020	2:00 – 4:00 pm	A167
regular meeting	Tuesday, April 21, 2020	2:00 – 4:00 pm	A167
regular meeting	Tuesday, May 19, 2020	2:00 – 4:00 pm	A167
Teaching and Learning Committee			
regular meeting	Thursday, September 19, 2019	2:00 – 4:00 pm	A167
regular meeting	Thursday, October 24, 2019	2:00 – 4:00 pm	A167
regular meeting	Thursday, November 21, 2019	2:00 – 4:00 pm	A167
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2020-21 University of Calgary General Faculties Council and Standing Committees Schedule			
	Date	Time	Location
General Faculties Council Meetings			
GFC Orientation	Thursday, September 10, 2020	1:30 – 3:00 pm	ST147
regular meeting	Thursday, October 8, 2020	1:30 – 4:30 pm	ST147
regular meeting	Thursday, November 5, 2020	1:30 – 4:30 pm	ST147
regular meeting	Thursday, December 10, 2020	1:30 – 4:30 pm	ST147
regular meeting	Thursday, January 14, 2021	1:30 – 4:30 pm	ST147
regular meeting	Thursday, February 11, 2021	1:30 – 4:30 pm	ST147
regular meeting	Thursday, March 11, 2021	1:30 – 4:30 pm	ST147
regular meeting	Thursday, April 8, 2021	1:30 – 4:30 pm	ST147
regular meeting	Thursday, May 13, 2021	1:30 – 4:30 pm	ST147
regular meeting	Thursday, June 10, 2021	1:30 – 4:30 pm	ST147
Standing Committee Meetings			
Standing Committee Chairs Orientation	TBD	TBD	A167
Standing Committees Orientation	Wednesday, September 9, 2020	1:30 – 3:00 pm	A167
Academic Planning and Priorities Committee			
regular meeting	Monday, September 28, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, October 19, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, November 2, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, November 23, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, December 14, 2020	2:00 – 4:00 pm	A167
regular meeting	Monday, January 11, 2021	2:00 – 4:00 pm	A167
regular meeting	Monday, February 1, 2021	2:00 – 4:00 pm	A167
regular meeting	Monday, February 22, 2021	2:00 – 4:00 pm	A167
regular meeting	Monday, March 15, 2021	2:00 – 4:00 pm	A167
regular meeting	Monday, March 29, 2021	2:00 – 4:00 pm	A167
regular meeting	Monday, April 12, 2021	2:00 – 4:00 pm	A167
regular meeting	Monday, May 3, 2021	2:00 – 4:00 pm	A167
regular meeting	Monday, May 17, 2021	2:00 – 4:00 pm	A167
regular meeting	Monday, June 7, 2021	2:00 – 4:00 pm	A167
regular meeting	Monday, June 21, 2021	2:00 – 4:00 pm	A167
Academic Program Subcommittee			
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Calendar and Curriculum Subcommittee			
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