



Centre for
Heart Lung Innovation
UBC and St. Paul's Hospital

UBC HLI POLICY

Title: HLI Staff, Student and Researcher Code of Conduct

Procedure:	HLI-POLICY - 4	Supersedes:	NEW
Originator:	Operations Team	Approved by	HLI Executive
Effective Date:	June 1, 2013	Review Frequency:	May 31, 2013
			Total Number of Pages: 6

1. SCOPE

- The Centre for Heart Lung Innovation (HLI) is a UBC Senate approved research centre. This Code of Conduct (COC) provides standards to recognize and respond to ethical issues, and direction on how to report unethical conduct. Every employee of the HLI has a responsibility to understand and comply with the COC and all other HLI policies. Employees who violate this code of conduct will receive disciplinary action which is timely, consistent and appropriate.

2. PURPOSE

- As a UBC Senate approved Research Centre and part of Providence Health Care (PHC), the HLI must adhere to all the policies and guidelines of these organizations. The HLI Executive has reviewed and approved this document to ensure that the HLI and stakeholders remain compliant with the requirements of the various aforementioned agencies.
- The matters covered in this COC are of utmost importance to the HLI and are essential to our ability to conduct research in accordance with our mission and values.
- The COC document has been written to ensure that all individuals (staff, trainees, other members and non-members) at the HLI understand their responsibility for ethical conduct and appropriate behaviour.



- The code provides a policy to assist HLI members and non-members in reporting concerns regarding unprofessional conduct. The code also encourages and ensures that everyone is aware of situations that give rise to questions and identify acceptable ways of handling such situations.

3. RESPONSIBILITIES

- The HLI Executive and Principal Investigators (PIs) are committed to and ultimately responsible for providing a safe and ethical workplace environment. PIs and Lab Managers have a duty to be role models for appropriate workplace conduct and to ensure that COC is followed. This includes:
 - Ensuring each employee has read the COC and that they understand and agree to comply. The signed copy of the “Code of Conduct Compliance Agreement” will be retained by the Human Resources Department.
 - Reporting any violation of the COC or any other centre policy.
- The HLI executive is responsible for the application of the COC and for providing policies to ensure compliance with expectations of ethical workplace conduct and uncompromising values.

4. PERSONAL CONDUCT

- **Be Professional.** All HLI members and non-members are expected to give their full attention to their assigned responsibilities during work hours, and to perform their job fully to the best of their abilities. All HLI members must comply with all HLI policies and procedures and all applicable government laws and regulations in all matters.
- **Respect the rights of all individuals.** All HLI members and non-members are expected to treat each other with dignity and respect. No discrimination or harassment will be tolerated. This includes any unwelcome verbal, written or physical conduct that denigrates or shows hostility towards a person, including but not limited to, on the basis of personal characteristics such as race, national or ethnic origin, religion, political affiliation, age, gender, family or marital status, sexual orientation, or disability that has the purposes or effect of creating an intimidating, hostile, offensive or poisonous work environment; or unreasonably interfering with an employee's work performance, employment opportunities or compensation.
- **Work Safe.** The centre is committed to providing a safe working environment as defined by Worksafe BC and UBC risk management (UBC policies #6-11). All HLI members and non-members must have an understanding of and comply with the aforementioned health and safety policies and regulations and promote a clean and safe working environment.
- **Ensure a Secure Workplace.** Visitors to HLI must sign in with reception and display a “visitors” badge. All members are responsible for monitoring access to the HLI by observing those who enter and asking to see ID badges. If the visitors do not have an ID badge they need to be sent back to reception to sign in and obtain a visitors pass. Those authorized to have and use centre keys and identification cards must exercise care to prevent loss. If keys and/or ID badge is lost, a supervisor or HR representative must be notified immediately.



- **Personal security.** All HLI members and non-members are responsible for promoting and supporting a respectful and safe work environment. This is especially important in open workspaces such as laboratories and shared office. Respect others' property, workspace, personal space and time.
- **Appropriate Use of JHRC Assets.** HLI members and non-members are required to safeguard all resources of the centre and to ensure their appropriate and efficient use for legitimate purposes. Safeguarding includes protection against unauthorized use or inappropriate access, destruction as well as protection from theft. Centre policies regarding the purchase and destruction of assets and the destruction of records must be adhered to. For more information on information/computing systems see Acceptable Use of Computing System Policy.
 - We are entrusted with the biological materials of patients and volunteers. It is our responsibility to respectfully ensure these valuable resources are used appropriately. All Privacy and Confidentiality Policies must be read and understood, as well as policies regarding the maintenance and destruction of records must be followed.
 - Uses of computers must be within standards set by the Acceptable Use of Computing System Policy, to ensure data is protected and no harm comes to the network. For more information on information/computing systems see Acceptable Use of Computing System Policy.
 - As an organization entrusted with public funds, we aim to use these assets in the most responsible manner possible. All Centre users are expected to be economical in their use of all Centre resources, including all administrative and research supplies, minimizing our environmental and financial impact wherever possible. Centre and UBC policies regarding the purchase and destruction of assets and the destruction of records must be followed.
- **Alcohol, Drug Use and other at risk behaviour.** Unauthorized alcohol consumption, smoking, controlled substances and possession of weapons are strictly prohibited anywhere on the St. Paul's Hospital premises. All HLI members and non-members must adhere to the policies of St. Paul's Hospital and UBC with regard to at risk behaviour (UBC policies #13-15)
- **Accurate Reporting.**
 - 4..1. Label all materials (e.g.; chemical solutions and frozen samples) and keep accurate records of methods and data results so all previous work can be confirmed or replicated. Lab books are the property of the HLI and are to remain with the PI or lab manager upon departure (as per UBC policy #117 – Records Management).
 - 4..2. Documents and research papers, grants, reports: As a UBC site all HLI members are expected to adhere to all UBC policies including those regarding scholarly integrity (UBC policy # 85), research (UBC policy # 87-89) and communications (UBC policy # 96).



- 4..3. The Centre is committed to maintaining the integrity of our financial records and accounts. Each account is reconciled and checked for errors on a monthly basis with the assistance of Lab Managers. Lab Managers assist PIs with ensuring research is on budget and that only necessary expenses are incurred. Lab Managers control the flow of lab supply expenses by placing orders on their Procurement Cards, this ensures they can track how much is being spent and that the most economical supplies are being used (as per UBC policy #122 – Purchasing).

5. CONFLICT OF INTEREST DISCLOSURE (as per UBC policy #97 – Conflict of Interest and Conflict of Commitment).

- A conflict of interest arises when personal interests, interests of a family member, or duty to some other person interferes, or appears to interfere with the employee's responsibility and duty to the centre, even if the centre is not adversely affected by the conduct.

Employees must avoid or immediately report conflicts of interest or situations where their conduct allows them, or someone close to them, to benefit personally as a result of their position. This includes opportunities discovered through their position, or through their use of the centre's information or property. Employees may not compete with the Centre in any way.

- 5.1. **Outside employment or volunteer involvement.** Generally, outside employment is permitted as long as it is not in conflict with, or related to your work at the HLI and is not contrary to the interests of the Centre. No outside employment activities may take place during working hours. All Centre employees working with external company or outside employee information must understand and comply with that company's privacy policies, so long as their policies do not conflict with those of the HLI.
- 5.2. **Financial Conflicts of Interest.** UBC and HLI have implemented stringent new training and reporting requirements for significant Financial Conflicts of Interest (FCOI) that affect all investigators and co-investigators, their spouses and their dependent children. Investigators holding or applying for PHS funding must submit a Significant Financial Interest Disclosure Form listing his or her known financial interests and those of his/her spouse and dependent children.
<http://research.ubc.ca/ethics/coi>
- 5.3. **Donations, Gifts and Entertainment.** As a UBC site all HLI members are expected to adhere to UBC policies including those regarding donations (UBC policy # 114), gifts (UBC policy # 115) and entertainment (UBC policy # 84)
- 5.4. **Nepotism and equitable hiring practices.** As a UBC site all HLI members are expected to adhere to UBC policies including those regarding equitable hiring, appointments, terms and compensation (see UBC policies regarding these issues at: <http://universitycounsel.ubc.ca/policies/>)



6. VIOLATION REPORTING PROCEDURE

6.3. When facing a situation you consider ethically troublesome, use the following checklist, outlining the classic steps in problem solving, to help determine whether the action you are considering, or are being asked to consider, is appropriate:

6.3.1. Analyze the Situation; before I take action, I will try to gain a full understanding of the situation:

- What are the facts and do I have accurate information (examine assumptions/biases)?
- With whom do I discuss the issue and seek advice (Manager, PI, or HR; whomever you feel most comfortable talking with)?

6.3.2 Develop a solution; together with your trusted advisor evaluate all options and develop an action plan considering the following:

- Who is responsible for acting?
- When is the proper time to act?
- What and whose rights are involved?
- Which written guidelines and procedures should be consulted?
- Of the options I have considered, which do the most to maximize benefits, reduce harm, respect rights and duties and increase fairness?

6.3.3 Implement the Solution; prior to implementing my solution, I will confirm my proposed decision with Human Resources, my manager and contact other departments where appropriate.

- A formal report must be compiled and the rights of the complainant must be adhered to as per UBC policy (#118 –whistleblowers) and a formal investigation must be initiated as per UBC policy #95).

7. ATTACHED/RELATED FORMS

- 7.3. Code of Conduct Compliance Agreement.
- 7.4. Mission Statement and Values.
- 7.5. Conflict of Interest Disclosure Form.
- 7.6. Confidentiality Agreement
- 7.7. Acceptable Use of Computing System Form
- 7.8. UBC Copyright Agreement
- 7.9. Violation of Conduct Report



8. DOCUMENT RETENTION

- 8.3. Lab Managers and HR are responsible for ensuring that copies of an employee's code of conduct agreement is placed in their employment file and kept up-to-date for their entire employment period and for no less than 3 years post employment at the HLI.

9. CONTINGENCIES

- 9.3. Employees are protected against retaliation even if the concern is not subsequently confirmed by investigation.
- 9.4. Compliance with this code is required from all employees, including permanent, seasonal, part-time, contract, secondment, temporary agency employees on long term assignment, as well as consultants and advisors.
- 9.5. It is each employee's responsibility to consult with their manager if there is any uncertainty regarding interpretation or application of these guidelines.
- 9.6. Personnel who violate the code or commit illegal acts are subject to discipline up to and including dismissal. Employees who report their own illegal acts or improper conduct, however, will have such self-reporting taken into account in determining the appropriate disciplinary action.

Return signed form to Human Resources and Copy to Lab Manager

**CODE OF CONDUCT
COMPLIANCE AGREEMENT
(Version 1. June 1, 2013)**

I HAVE RECEIVED, READ AND UNDERSTOOD the Centre for Heart Lung Innovation Employee Code of Conduct.

I agree to abide by these policies as a term and condition of my employment / contract / association with the Centre for Heart Lung Innovation.

Name (Print)

Signature

Date

Witness (Supervisor) Name (Print)

Witness Signature

Date