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**Policy Title:** 1.4 Disclosure of Wrong Doings (Whistleblower)

**Section:** 1.0 Roles and Responsibilities

**Last Approved:** October 2017

### BACKGROUND

The purpose of this policy is to provide an assurance that those who bring to the Executive's attention their good faith concerns about unethical or illegal activities within our organization will be protected from reprisals or victimization.

### APPLICATION

The SSBA is committed to establishing and maintaining a high standard of ethical practices in the workplace and encourage practices that support integrity and honesty and are in compliance with Canadian and Provincial laws, rules and regulations.

The purpose of this policy is to provide direction to all current and former employees, and Executive members regarding the communication of events/occurrences or concerns, with respect to issues of integrity and honesty and, in particular, of questionable financial or operational matters.

### POLICY STATEMENT

1. The SSBA is committed to conducting itself with honesty and integrity at all times. If, at any time, this commitment is not followed or appears in doubt, SSBA will seek to identify and remedy such situations.
2. The SSBA is committed to protecting our employees and Executive members who, in good faith, report concerns related to unethical or illegal activities, actions and behaviours of others affiliated with SSBA within the scope of our organization's operations. The SSBA will not tolerate reprisals, harassment, discrimination or victimization of the person(s) reporting evidence of an activity that violates our ethical standards, Canadian or Provincial laws and regulations.
3. Our expectation is the concerns and allegations made about potential illegal or unethical reportable activities connected to our organization are made in good faith. Allegations that are found not to have been made in good faith are viewed as a serious offence and the individual making these bad faith allegations may be subject to discipline up to and including termination of employment or severing the relationship when applied to Executive members.
4. When an employee or Executive member has reasonable grounds to believe that another SSBA employee or Executive member has committed, or is about to commit, a financial or other wrongdoing:
  - 4.1. The employee or Executive member (Whistleblower) may disclose this information through the process as listed in clause 6 of this policy;
  - 4.2. The matter will be reviewed and if warranted, investigated by the designated individual;
  - 4.3. The employee or Executive member will be protected from reprisals;
  - 4.4. The subject of the disclosure will be provided with an opportunity to respond to the allegations;

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- 4.5. All parties to an investigation will be treated fairly and equitably;
- 4.6. Confidentiality will be maintained to the greatest extent possible;
- 4.7. If wrongdoing is found, appropriate remedial and disciplinary actions will be taken.
5. Definition of reasonable grounds include:
  - 5.1. A contravention of any Act of Parliament or of the legislature of a Province;
  - 5.2. A misuse of public funds or public assets;
  - 5.3. A gross mismanagement or omission or neglect of duty;
  - 5.4. An abuse of authority;
  - 5.5. An act or omission that creates a substantial and specific danger to the life, health or safety of persons, or to the environment;
  - 5.6. A serious breach of SSBA Code of Conduct;
  - 5.7. Breach of fiduciary duty and/or abuse of trust;
  - 5.8. Inappropriate occurrences at an association event;
  - 5.9. Knowingly directing a person to commit a wrongdoing set out above; or
  - 5.10. Concealment of any of the above or any other breach of this policy.
6. Procedure for reporting alleged reportable incidents
  - 6.1. Dependent on the employee/Executive member involved in the financial or other wrongdoing, a written statement must be submitted to the following individuals:
    - 6.1.1. If the wrongdoing is with respect to any SSBA employee or party acting on behalf of SSBA, the statement must be submitted to the Executive Director and a copy sent to the Director of Corporate Services.
    - 6.1.2. If the wrongdoing is with respect to a member of the Senior Management Team, the statement must be submitted to the Executive Director with a copy sent to the President.
    - 6.1.3. If the wrongdoing is with respect to the Executive Director, the statement must be submitted to the President and a copy sent to the Audit and Investment Committee.
    - 6.1.4. If the wrongdoing is with respect to a member or members of the Executive, the statement is to be submitted to the President and a copy sent to the Executive Director.
    - 6.1.5. If the wrongdoing is with respect to the President, the statement must be submitted to the Vice-President and a copy sent to the Executive Director.
  - 6.2. The Whistleblower must immediately communicate the Whistleblower occurrence/event or concern as soon as the Whistleblower becomes aware of such situations. The occurrence/event or concern shall be addressed in written format and sent to the appropriate individual/group described above.
  - 6.3. The Whistleblower will not be discharged, demoted, suspended, threatened, harassed, or in any other manner discriminated against as a result of communicating a genuine

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Whistleblower occurrence/event or concern. Any SSBA employee found to be in violation of this policy (i.e. continued harassment of the Whistleblower) may be subject to termination of employment. Similarly, any Executive member found to be in violation of this policy may have their relationship with SSBA terminated.

- 6.4. An individual is not required to prove the truth of an allegation, but he/she is required to act in good faith. Any individual who does not act in good faith in reporting a suspected violation may be subject to disciplinary action up to and including termination of employment or relationship with SSBA.
  - 6.5. All reported Whistleblower occurrences/events or concerns will be treated as confidential and sensitive. In addition, the Whistleblower shall be provided the opportunity to remain anonymous, save and except in those circumstances where the nature of the disclosure and/or the resultant investigation make it necessary to disclose identify (for example, legal investigations or proceedings). In such cases, all reasonable steps shall be taken to protect the Whistleblower from harm as a result of having made a disclosure.
  - 6.6. SSBA cannot act on anonymous reporting as proper investigation may prove impossible without the opportunity to substantiate allegations by obtaining further facts and information and confirming good faith.
7. Procedure for investigation
- 7.1. Once a Whistleblowing event/occurrence or concern is brought forward to the appropriate individual an investigation will commence. The designated individual may enlist the assistance of one or more employees and outside legal, accounting or other advisors, as may be appropriate to conduct the investigation.
  - 7.2. A report will be prepared by the designated individual and any legal or other action will be taken as appropriate.
  - 7.3. Each Whistleblower occurrence/event or concern will be treated as confidentially as possible and with due care. The results of the Whistleblowing event/occurrence or concern investigation will be shared with the Whistleblower. This will not include details of any disciplinary action, which will remain confidential to the individual concerned.

## REFERENCES

SSBA Bylaw 4.2 - Executive – Powers and Duties  
Audit and Investment Committee Terms of Reference  
Executive Policy 12.0 – Role of the Executive Director