

## WHISTLEBLOWING POLICY

### Governance Policies & Procedures

Date Policy Written: **October 2013**

Review Date Scheduled: **December 2019**

Author: **Director of Operations & Human Resources**

Approved by the Board of Directors: **February 2019**

This policy applies to: **Staff, Volunteers, Board Members**

#### Purpose

Ovarian Cancer Canada is committed to the highest ethical standards by conducting its business with maximum integrity and by achieving full compliance with all applicable laws, rules, and regulations.

The organization takes all possible steps to ensure that policies and procedures support these standards, are understood and consistently and fairly applied.

It is expected that the Board of Directors, volunteers and employees will observe the high standards of business and personal ethics in the conduct of their duties and responsibilities, comply with all applicable laws and regulations, and act in accordance with the organization's Code of Conduct.

The underlying purpose of this policy is to support the achievement of these goals by ensuring that all employees and volunteers understand that they may report any wrongdoing that may adversely impact the organization, its donors, volunteers, employees, or the public at large, without fear of retaliation or a negative impact on their employment status or relationship at and with Ovarian Cancer Canada. This protection is available whether or not the reported wrongdoing is substantiated so long as the report was made in good faith.

#### Standard

It is the responsibility of all Ovarian Cancer Canada Board members, employees and volunteers to report concerns about violations of the organization's governing policies or suspected violations of law or regulations that govern the organization's operations so that Ovarian Cancer Canada can address and correct inappropriate conduct and actions.

#### Scope

This policy applies to all members of Ovarian Cancer Canada Board of Directors, volunteers, employees, fee-for-service contractors and other stakeholders.

This policy covers instances where an employee, volunteer, other stakeholder or the public has evidence of activity or has witnessed activity of an organization's Board member, employee, volunteer or retained consultant (including external auditors) that to his/her knowledge constitutes:

- Accounting, auditing, or other financial reporting fraud or misrepresentation

- Violations of federal or provincial laws that could result in fines or civil damages payable by the organization, or that could otherwise significantly harm the organization's reputation or public image
- Unethical business conduct in violation of any policy, including, but not limited to, the Code of Conduct
- Danger to the health, safety, or wellbeing of employees, volunteers and/or the general public

### **Acting in Good Faith**

Anyone filing a complaint concerning a violation or suspected violation must be acting in good faith and have reasonable and honest grounds for believing the matter or issue disclosed falls within the scope of this policy.

Any allegations, that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false, will be viewed as serious wrongdoings. In the case of employees, such offenses will be handled on a case-by-case basis as determined by the CEO and/or the Chair of the Board.

### **No Retaliation**

It is contrary to the values of Ovarian Cancer Canada for anyone to retaliate against anyone who in good faith reports an ethics violation or other misconduct, or a suspected violation of law such as a complaint of discrimination, or suspected fraud, or suspected violation of any regulation governing the operations of the organization.

Any employee who retaliates against an individual who has reported a violation in good faith is subject to discipline up to and including termination of employment.

### **Process**

- Investigation by the CEO  
Ovarian Cancer Canada has an open door policy.

The CEO or their designate is responsible for investigating and resolving most types of reports made under this Policy. In certain circumstances, this individual may refer the matter to, or seek the assistance of, employees or others depending upon the nature of the reported activity. However, under no circumstances will a matter be referred to an employee of the organization who is the subject of any reported act or is otherwise an inappropriate person to assist with the investigation.

- Investigation by the Audit Committee - if any reported activity involves:
  - Questionable accounting or other matters which, if true, has, or even could have the potential to have, a material effect on the organization's financial position or its future prospects.
  - An alleged impropriety involving a director or employee of the organization.

In either case the allegation will immediately be forwarded to the chair of the Audit Committee, who in his/her discretion may call a meeting of the Audit Committee to discuss the matter (and shall, in any event, disclose the substance of the complaint at the next regularly scheduled meeting of the Audit Committee).

The Audit Committee may then, by majority vote, commence an investigation of the reported act (or transfer such investigation to a specially appointed committee of the Board).

The Audit Committee or special committee may enlist the assistance of one or more employees and outside legal, accounting or other advisors, as may be appropriate to conduct the investigation.

If the complaint concerns the CEO, and/or any other senior team member and/or a Board member, it should be directed immediately to the Chair of the Audit Committee.

- **Investigation by Chair of the Board**

If the complaint concerns the Chair of the Audit Committee or one of its members, it should be directed immediately to the Chair of the Board.

### **Confidentiality**

Violations or suspected violations may be submitted confidentially by the complainant. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation and/or the requirements of law.

Notwithstanding the foregoing, the CEO shall notify the Chair and Treasurer immediately upon receiving a complaint alleging financial impropriety, fraud or illegality.

### **Handling of Reported Violations**

Within five (5) business days, the CEO, their designate, the chair of the Audit Committee or the Chair of the Board as appropriate will notify the person who submitted a complaint and acknowledge receipt of the reported misconduct or suspected violation. All reports of misconduct or suspected misconduct will be investigated promptly and appropriate corrective action will be taken if warranted by the investigation within thirty (30) days of the receipt of the complaint. When resolution is not possible within that timeframe, the individual(s) reporting the concern(s) will be notified that the investigation is ongoing and that they will be informed of the results and actions taken when it is completed.

If, upon receiving notification of the outcome of the investigation, the complainant and all attached parties are satisfied that the resolution is satisfactory, all parties will sign an agreement acknowledging such.

If, upon receiving notification of the outcome of the investigation, the complainant is not satisfied with the resolution, he/she may complain in writing to the CEO in the case of employee misconduct, to the Chair of the Audit Committee or to the Chair of the Board of Directors for other matters who may choose to involve outside advisor or legal counsel.

The decision of the Chair of the Board is considered the final level of appeal and resolution internally. If, a resolution has not been reached and if, the alleged breach is in relation to any provincial or federal statute, the complainant will be advised to seek relief through outside agencies or counsel.



## WHISTLEBLOWING POLICY - COMPLAINT REPORT FORM

Your name (optional – you may submit your complaint anonymously):	
Region/Operation/Department (optional):	
Team Leader (optional):	
Telephone (optional):	
E-mail (optional):	

OVARIAN CANCER CANADA WILL TREAT ALL REPORTS MADE UNDER THIS POLICY AS CONFIDENTIAL TO THE FULLEST EXTENT THAT IS CONSISTENT WITH CONDUCTING A FULL AND FAIR INVESTIGATION.

YOUR IDENTITY WILL BE DISCLOSED TO OTHER INDIVIDUALS ONLY TO THE EXTENT NECESSARY TO CONDUCT A COMPLETE AND FAIR INVESTIGATION.

Describe violation:	
Date you became aware of the violation:	
The violation is:	Ongoing Completed Unclear whether ongoing or completed
Region/Operation/Department suspected of violation:	
Individual(s) suspected of violation:	
How did you become aware of the violation?	
Describe steps, if any, you took prior to completing this Report Form (e.g., informed supervisor); please add as many pages as needed:	

