



Memorandum

Secretariat

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TO: Senate

FROM: Mr. Stephen Stroppe, Secretary General

SUBJECT: Annual Report on the *Policy on Safe Disclosure* (“Whistleblowing”) (2014-15)

DATE: May 11, 2016

DOCUMENT #: D15-63

ACTION REQUIRED: INFORMATION APPROVAL/DECISION

ISSUE Annual Report on the *Policy on Safe Disclosure* (“Whistleblowing”) for 2014-2015.

BACKGROUND & RATIONALE Section 8 of the *Policy on Safe Disclosure* (“Whistleblowing”) states:

8.1 Once per academic year, the Secretary-General shall make a report to Senate and the Board of Governors, which report shall include:

- (i) the number of reports filed by Disclosers;
- (ii) the number of reports investigated;
- (iii) the number of findings of Improper Activity;
- (iv) the types of action taken pursuant to an investigation.

8.2 The annual report of Improper Activities shall respect the privacy of Disclosers and Respondents.

PRIOR CONSULTATION N/A

SUSTAINABILITY CONSIDERATIONS N/A

IMPACT OF DECISION AND NEXT STEPS Presentation to the Board of Governors for information on May 16, 2016.

MOTION OR RESOLUTION FOR APPROVAL N/A

APPENDICES Appendix A: Annual Report on the *Policy on Safe Disclosure* (“Whistleblowing”) (2014-2015)

Annual Report on the Policy on Safe Disclosure 2014-2015

Introduction

The *Policy on Safe Disclosure (“Whistleblowing”)* was approved by Senate in May 2007 and by the Board of Governors in October 2007, and came into force on 30 October 2007. Following a review of the Policy, Senate approved revisions to the Policy on November 18, 2015. The revisions were then approved by the Board of Governors on November 26, 2015.

Section 8.1 of the Policy provides that the Secretary-General must report annually to Senate and the Board of Governors on the application of the Policy. This report is presented to Senate in discharge of this obligation for the period November 1, 2014 through December 31, 2015.

The annual report shall respect the privacy of Disclosers and Respondents, as stipulated at various points in the Policy.

Report

During the reporting period from November 1, 2014 to December 31, 2015, four (4) confidential reports were filed with the Secretary-General in accordance with the *Policy on Safe Disclosure (“Whistleblowing”)*. Three (3) of these reports dealt with a similar fact situation. The four (4) reports were referred to the Provost and Vice-Principal (Academic) who considered the matters and appointed an investigator in accordance with section 4.3.1 of the Policy.

In the first instance, the investigator undertook a full investigation and submitted a report which concluded that there was no Improper Activity as defined in the Policy. Accordingly, the disclosed allegations did not give rise to action.

In the second instance, with respect to the remaining disclosures, since they arose from the same fact situation within the same unit, a single investigator was appointed. Subsequent to the appointment of the investigator, the Disclosers withdrew their allegations of Improper Activity.