

Memorandum

Secretariat

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TO: Senate

FROM: Ms. Edyta Rogowska, Secretary General

SUBJECT: Annual Report on the *Policy on Safe Disclosure* (“Whistle Blowing”)

DATE: May 15, 2019

DOCUMENT #: D18-73

ACTION REQUIRED: ☒ INFORMATION ☐ APPROVAL/DECISION

ISSUE The annual report on the *Policy on Safe Disclosure* (“Whistle Blowing”) is presented for Senate’s information.

BACKGROUND & RATIONALE This report is presented in accordance with section 8 of the *Policy on Safe Disclosure* (“Whistle Blowing”), which 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 The Report was presented to the Board of Governors on April 25, 2019.

SUSTAINABILITY CONSIDERATIONS The Policy provides for a sustainable framework for purposes of addressing safe disclosures made by members of the McGill community.

IMPACT OF DECISION AND NEXT STEPS The next annual report will be presented to Senate and the Board of Governors for information in Spring 2020.

MOTION OR RESOLUTION FOR APPROVAL The Report is presented for information.

APPENDICES Appendix A: Annual Report on the *Policy on Safe Disclosure* (“Whistle Blowing”)

Annual Report on the Policy on Safe Disclosure (“Whistle Blowing”)

Introduction

The *Policy on Safe Disclosure* (“*Whistle Blowing*”) was approved by Senate in May 2007 and by the Board of Governors in October 2007, and came into force on October 30, 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.

As stated in the Policy, those responsible for the administration and management of academic, administrative or service units are responsible for addressing situations of Improper Activity in accordance with good management practices and existing policies, guidelines and procedures. It is the expectation that members of the University community will continue to use existing channels to report Improper Activity and only resort to this Policy if such channels prove ineffective or are inappropriate in the circumstances. For more information about the Policy, please see: <https://www.mcgill.ca/secretariat/policies-and-regulations/safe-disclosure-whistle-blowing-reporting>

Section 8.1 of the Policy provides that the Secretary-General report annually to Senate and the Board of Governors on the application of the Policy. This report is presented to Senate and the Board of Governors in discharge of this obligation for the period January 1, 2018 through December 31, 2018.

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 January 1, 2018 through December 31, 2018, five (5) confidential disclosures were filed with the Secretary-General in accordance with the Policy. The reports were reviewed by the relevant Responsible Officers, who determined that no further action was warranted. In some cases, the reports were deemed not relate to Academic, Financial or Research Misconduct as defined by the Policy, while in other cases, they concerned matters, which were being investigated through other university channels.

The table below provides a summary of disclosures since November 2007 based on the requirements of the Policy.

Reporting Period	Number of reports filed by Disclosers	Number of reports investigated	Number of findings of Improper Activity	Types of action taken pursuant to an investigation
Jan.1, 2018 – Dec. 31, 2018	5	0	N/A	N/A
Jan. 1, 2017 – Dec. 31, 2017	2	2	1	Disciplinary action and other administrative actions
Jan. 1, 2016 – Dec. 31, 2016	1	1	0	N/A
Nov. 1, 2014 – Dec. 31, 2015	4 (3 of which were later withdrawn)	1	0	N/A
Nov. 1, 2013 – Oct. 31, 2014	0	N/A	N/A	N/A
Nov. 1, 2012 – Oct. 31, 2013	1	0	0	N/A
Nov. 1, 2007 – Oct. 31, 2012	0	0	N/A	N/A