

APPENDIX J

Whistleblower Policy

Background

CPATA is committed to meaningful communication at all levels of the organization in a way that promotes and supports good governance principles. CPATA is committed to conducting its duties with honesty and integrity at all times. If at any time this commitment is not followed or appears to be in question, CPATA will seek to identify and remedy such situations. With this in mind, CPATA's Board, committee members and staff are encouraged to raise genuine concerns without fear of reprisals or consequences.

Purpose

The purpose of this Whistleblower Policy is to provide direction to all current and former directors, committee members, employees, contractors and the public regarding the communication of concerns with respect to issues of honesty and integrity and, in particular, of potentially illegal or unethical conduct in operational or financial matters.

This policy prohibits any person from taking any action that adversely affects the employment (including working conditions) of an employee because the employee has made a disclosure of alleged wrongdoing. Other individuals, including those involved in an investigation of alleged wrongdoing (i.e., witnesses), are also protected against reprisal.

'Reprisal' includes, but is not limited to, ending or threatening to end employment, discipline, threat of discipline or penalty, and coercion or intimidation. However, a complainant 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 their relationship with CPATA.

Any employee found to be in violation of this policy when dealing with a complainant may be subject to disciplinary action up to and including termination of employment. Similarly, any Board Member, contractor or Investigator found to be in violation of this policy when dealing with a complainant may have their relationship with CPATA terminated.

The complainant will be provided the opportunity to remain anonymous, except in those circumstances where the nature of the disclosure and/or the resulting investigation necessitate the disclosure of the identity of the complainant. In such cases, all reasonable steps will be taken to protect the complainant from harm as a result of having made a disclosure.

1. Policy

Definitions

In this Policy:

- 1.1 'Whistleblower' means any current or former director, employee, contractor, agent of CPATA, or member of the general public who has reported a whistleblower incident;

1.2 'Whistleblower incident' means a concern related to issues of honesty and integrity within CPATA, in particular with respect to operational and financial issues. Examples of whistleblower incidents may include:

- violation of legal obligations, rules, regulations, by-laws or policy;
- endangerment of health and safety;
- gross mismanagement or omission or neglect of duty;
- abuse of authority;
- mismanagement in the use or failure to use funds, including inappropriate recording or reporting of revenues, or lack thereof;
- inappropriate classification or presentation of assets and/or liabilities;
- breach of fiduciary duty and/or abuse of trust;
- inappropriate occurrences at a CPATA event, whether on-line or in person; and
- concealment of any of the above or any other violation of this policy.

2. Authority

Overall authority for this policy rests with the Board and the CEO. The CEO is responsible for facilitating the communication and operation of this policy, including appropriate training and review. All staff, Board directors and committee members are responsible for the success of the policy and that they take any reasonable actions required to make the policy effective and of optimal value to CPATA.

3. Process

Whistleblower Incident Reporting

- 3.1 The Whistleblower must promptly communicate whistleblower incidents as soon as the Whistleblower becomes aware of such situations.
- 3.2 Whistleblower incidents may be communicated to the CEO orally (by phone or in person) or in writing (mail, email).
- 3.3 In the event that the incident relates to the conduct of the CEO, the report should be made to the Chair of the Board.

4. Procedures

- 4.1 All Whistleblower incidents shall be reported to CPATA's CEO/Registrar or, if the incident relates to the conduct of the CEO, then to the Chair of the Board. If reported to the CEO, the CEO will be responsible for compliance with this policy and will immediately advise the Chair of the Board.
- 4.2 Once received, the incident report will be assessed and a recommendation for investigation sent to the Chair of the Board. The CEO and Chair of the Board will then reach consensus and the

investigation will be undertaken, involving other staff and/or the Board depending on the scope and severity of the incident reported.

- 4.3 The CEO, in consultation with the Chair of the Board, or the Chair of the Board as the case may be, may refer any Whistleblower incident for review by an independent third-party approved by the Board. Any Whistleblower incident involving the Chair of the Board will be reported to the Board and promptly referred to an independent third-party.
- 4.3 A report will be prepared, and any recommended actions will be approved by the Board.

5. Documentation

Documents will be held in confidence by all parties and participants under this policy. Official reports for the CEO or other designated parties will be kept confidential by any recipient unless otherwise authorized by the report or the CEO. All relevant documentation including reports, discussions and supporting information will remain in the control and custody of the CEO unless otherwise authorized pursuant to a report or decision issued in accordance with this policy.