



WHISTLEBLOWER POLICY

Definitions

1. The following terms have these meanings in this Policy:
 - a) “*Director*” – an individual appointed or elected to Equestrian Canada (EC)’s Board of Directors.
 - b) “*Worker*” – an individual who has signed an Employment Agreement or Contractor Agreement with EC.
 - c) “*Workplace*” – any place where business or work-related activities are conducted. Workplaces include, but are not limited to, EC’s office, work-related social functions, work assignments outside EC’s offices, work-related travel, and work-related conferences or training sessions.

Purpose

2. The purpose of this Policy is to allow Workers to have a discrete and safe procedure by which they can disclose incidents of wrongdoing in the Workplace without fear of unfair treatment or reprisal.

Application

3. This Policy only applies to Workers who observe or experience incidents of wrongdoing committed by Directors or by other Workers.
4. Incidents of wrongdoing or misconduct observed or experienced by participants, volunteers, spectators, parents of participants, or other individuals not employed or contracted by EC can be reported under the terms of EC’s *Discipline, Complaints, and Appeal Policy* and/or reported to EC’s Chief Executive Officer (CEO) to be handled under the terms of the individual Worker’s Employment Agreement or Contractor Agreement, as applicable, and/or EC’s policies on human resources.
5. Matters reported under the terms of this Policy may be referred to be heard under EC’s *Discipline, Complaints, and Appeal Policy*, at the discretion of the Complaint Manager.

Wrongdoing

6. Wrongdoing can be defined as:
 - a) violating the law;
 - b) intentionally or seriously breaching EC’s *Code of Conduct and Ethics*;
 - c) intentionally or seriously breaching EC’s policies for workplace violence and harassment;
 - d) committing or ignoring risks to the life, health, or safety of a participant, volunteer, Worker, or other individual;
 - e) directing an individual or Worker to commit a crime, serious breach of an EC policy, or other wrongful act; or, fraud.



Pledge

7. EC pledges not to dismiss, penalize, discipline, or retaliate or discriminate against any Worker who discloses information or submits, in good faith, a report against a Worker under the terms of this Policy.
8. Any individual affiliated with EC who breaks this Pledge will be subject to disciplinary action.

Reporting Wrongdoing

9. A Worker who believes that a Director or another Worker has committed an incident of wrongdoing should prepare a report that includes the following:
 - a) a written description of the act or actions that comprise the alleged wrongdoing, including the date and time of the action(s);
 - b) identities and roles of other individuals or Workers (if any) who may be aware of, affected by, or complicit in, the wrongdoing;
 - c) why the act or action should be considered to be wrongdoing; and,
 - d) how the wrongdoing affects the Worker submitting the report (if applicable).

Authority

10. EC has appointed the following Complaint Manager to receive reports made under this Policy:

Jahmiah Ferdinand-Hodkin, Sport Dispute Management
complaints@sportdispute.com

11. After receiving the report, the Complaint Manager has the responsibility to:
 - a) assure the Worker of EC's Pledge;
 - b) connect the Worker to the Alternate Liaison if the individual feels that he or she cannot act in an unbiased or discrete manner due to the individual's role with EC and/or the content of the report;
 - c) determine if the report is frivolous, vexatious, or not submitted in good faith (e.g. the submission of the report is motivated by personal interests and/or the content of the report is obviously false or malicious);
 - d) determine if EC's Whistleblower Policy applies or if the matter should be handled under EC's *Discipline, Complaints, and Appeal Policy*;
 - e) determine if the local police service be contacted;
 - f) determine if mediation or alternate dispute resolution can be used to resolve the issue;
 - g) determine if EC's President and/or CEO should or can be notified of the report; and,
 - h) begin an investigation.

Alternate Liaison

12. If the Worker feels that the Complaint Manager is unable to act in an unbiased or discrete manner due to the individual's role with EC and/or the content of the report, the Worker should contact the following individual who will act as an independent liaison between the Worker and the Complaint Manager:

[contact information for Alternate Liaison]



13. The Alternate Liaison will not disclose the Worker's identity to the Complaint Manager or to anyone affiliated with EC without the Worker's consent.
14. A Worker who is unsure if he or she should submit a report, or who does not want to have his or her identity known, may contact the Alternate Liaison for informal advice about the process.

Investigation

15. If the Complaint Manager determines that an investigation should be launched, the Complaint Manager may decide to contract an external investigator. In such cases, EC's CEO and/or President may be notified that an investigation conducted by an external investigator is necessary without the nature of the investigation, content of the report, or identity of the Worker who submitted the report being disclosed. EC's CEO and/or President may not unreasonably refuse the decision to contract an external investigator.
16. An investigation launched by the Complaint Manager or by an external investigator should generally take the following form:
 - a) follow up interview with the Worker who submitted the report;
 - b) identification of Workers, participants, volunteers, or other individuals that may have been affected by the wrongdoing;
 - c) interviews with such-affected individuals;
 - d) interview with the Director(s) or Worker(s) against whom the report was submitted; and,
 - e) interview with the supervisor(s) of the Director(s) or Worker(s) against whom the report was submitted.
17. In all stages of the investigation, the investigator will take every precaution to protect the identity of the Worker who submitted the report and/or the specific nature of the report itself. However, EC recognizes that there are some instances where the nature of the report and/or the identity of the Worker who submitted the report will or may be inadvertently deduced by individuals participating in the investigation.
18. The investigator will prepare an Investigator's Report – omitting names whenever possible and striving to ensure confidentiality – that will be submitted to EC's President and/or CEO for review and action.

Decision

19. Within 14 days after receiving the Investigator's Report, EC's President and/or CEO will take corrective action as required. Corrective action may include, but is not limited to:
 - a) enacting and/or enforcing policies and procedures aimed at eliminating the wrongdoing or further opportunities for wrongdoing;
 - b) revision of job descriptions; or,
 - c) discipline, suspension, termination, or other action as permitted by EC's Bylaws, provincial employment legislation, EC's policies on human resources, and/or the Worker's Employment Agreement or Contractor Agreement.
20. The corrective action, if any, will be communicated to the investigator, who will then inform the Worker who submitted the report.
21. Decisions made under the terms of this Policy may be appealed under the terms of EC's *Discipline, Complaints, and Appeal Policy* provided that:
 - a) if the Worker who submitted the initial report is appealing the decision, the Worker understands that his or her identity must be revealed if he or she submits an appeal; and,



- b) if the Director or Worker against whom the initial report was submitted is appealing the decision, the Worker or Director understands that the identity of the Worker who submitted the report will not be revealed and that EC will act as the Respondent.

Confidentiality

- 22. Confidentiality at all stages of the procedures outlined in this Policy – from the initial report to the final decision – is assured for all individuals (the Worker, the Worker(s), or Director(s) against whom the report is submitted, and the individuals interviewed during the investigation). An individual who intentionally breaches the confidentiality clause of this Policy will be subject to disciplinary action.