

Whistleblower Policy

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1 Purpose

The Purpose of this Whistleblower Policy is to provide direction to employees, volunteers and Board members regarding the communication of events/occurrences or concerns, with respect to issues of integrity and honesty and, in particular, of questionable financial or operational matters.

2 Policy statement

A Rocha Canada (ARC) is committed to conducting itself with honesty and integrity at all times. If, at any time, this commitment is not followed or appears in doubt, ARC will seek to identify and remedy such situations.

Accordingly, it is the Policy of ARC to ensure that when an employee, volunteer or board member has reasonable grounds to believe that another ARC employee, volunteer or board member has committed, or is about to commit, a financial or other wrongdoing:

- The employee, volunteer or board member may disclose this information through the process that commences on Section 4.1 of this Whistleblower Policy.
- The matter will be reviewed and if warranted, investigated, by the person who receives the complaint (named in the chart in Section 4.1 of this Whistleblower Policy).
- The employee, volunteer or board member will be protected from reprisals.
- The subject of the disclosure will be provided with an opportunity to respond to the allegations;
- All parties to an investigation will be treated fairly and equitably.
- Confidentiality will be maintained to the greatest extent possible.
- If wrongdoing is found, appropriate remedial and disciplinary actions will be taken.

This Policy is in accordance with Federal and Provincial Legislation and is located on the

ARC Website under <https://arocha.ca/who-we-are-a-rocha-canada/accountability/>.

3 Definition – reasonable grounds of a “Whistleblower event”

For the Purposes of this Policy, a Whistleblower event is triggered if any one of the following incidents occur:

- A contravention of any Act of Parliament or of the legislature of a Province.
- A misuse of ARC funds or assets.
- A gross mismanagement or omission or neglect of duty.
- An abuse of authority.
- An act or omission that creates a substantial and specific danger to the life, health or safety of persons, or to the environment.
- Breach of fiduciary duty and/or abuse of trust.
- Inappropriate occurrences at an ARC event.
- Knowingly directing a person to commit a wrongdoing set out above.
- Concealment of any of the above or any other breach of this policy.

4 Process for bringing forward a Whistleblowing event/occurrence or concern

4.1 Dependent on the employee/volunteer/Board member involved in the financial or other wrongdoing, a written statement must be submitted to the following individuals:

- If the wrongdoing is with respect to any ARC employee, volunteer, board member or party acting on behalf of ARC, the statement must be submitted to the CEO with a copy sent to the Director of Operations & Finance.
- If the wrongdoing is with respect to a member of the National Management Team, the statement must be submitted to the CEO.
- If the wrongdoing is with respect to the CEO, the statement must be submitted to the Chair of the Board and a copy sent to the Nominating and Governance Committee.
- If the wrongdoing is with respect to a member or members of the Board, the statement is to be submitted to the Chair of the Board.
- If the wrongdoing is with respect to the Chair of the Board, the statement must be submitted to the Vice-chair of the Board.

The Chart below summarizes to which office or person a wrongdoing should be submitted to:

WRONGDOING WITH RESPECT TO:	SUBMISSION TO BE SENT TO and INITIAL INVESTIGATION DONE BY:

ARC Employee, Volunteer, Board Member or other Party acting on ARC behalf	CEO and a copy to the Operations Director Director of Operations & Finance
Member of the National Management Team	CEO
CEO	Chair of Board of Directors and a copy to the Nominating and Governance Committee
Member of Board of Directors	Chair of Board of Directors
Chair of Board of Directors	Vice-chair(s) of Board of Directors

4.2 The Whistleblower must immediately communicate the Whistleblower occurrence/event or concern as soon as the Whistleblower becomes aware of such situations. The occurrence/event or concern shall be addressed in written format and sent to the appropriate individual/group described above. The written submission should give as much information as possible on the subject matter of the complaint, so that the information is sufficient to enable a full investigation. Such information should include details as to where and when the incident(s) occurred, the names and titles of the individuals involved and as much other relevant detail as the reporting individual can provide.

4.3 The Whistleblower will not be discharged, demoted, suspended, threatened, harassed, or in any other manner discriminated against as a result of communicating a genuine Whistleblower occurrence/event or concern. Any ARC employee found to be in violation of this policy (i.e. continued harassment of the Whistleblower) may be subject to termination of employment. Similarly, any volunteer or Board member found to be in violation of this policy may have their relationship with ARC terminated.

4.4 An individual is not required to prove the truth of an allegation, but he/she is required to act in good faith. Any individual 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 relationship with ARC.

4.5 All reported Whistleblower occurrences/events or concerns will be treated as confidential and sensitive. In addition, the Whistleblower shall be provided the opportunity to remain anonymous, save and except in those circumstances where the nature of the disclosure and/or the resultant investigation make it necessary to disclose identity (for example, legal investigations or proceedings). In such cases, all reasonable steps shall be taken to protect the Whistleblower from harm as a result of having made a disclosure.

4.6 ARC **cannot act** on anonymous reporting as proper investigation may prove impossible without the opportunity to substantiate allegations by obtaining further facts and information and confirming good faith.

5 Investigation

Once a Whistleblowing event/occurrence or concern is brought forward to the appropriate individual/Officer an investigation will commence. The designated individual/Officer may enlist the assistance of one or more employees and outside legal, accounting or other advisors, as may be appropriate to conduct the investigation.

A report will be prepared by the designated individual and any legal or other action will be taken as appropriate.

The designated individual/Officer will advise the Director of Operations of all complaints received (and the summary results of investigations) on a quarterly basis. Human Resources shall retain any reports of Reportable Activity and any resulting investigations for a period of not less than seven (7) years, or in an acceptable manner at the discretion of the Board. Such preservation obligation shall include the making of written summaries of any oral complaints or reportable activity.

Each Whistleblower occurrence/event or concern will be treated as confidentially as possible and with due care. The results of the Whistleblowing event/occurrence or concern investigation will be shared with the Whistleblower. This will not include details of any disciplinary action, which will remain confidential to the individual concerned.

6 Applicability

This Policy applies to employees, volunteers and Board members of ARC.

APPROVED BY: ARC BOARD OF DIRECTORS October 16, 2020

7 Forms and contacts:

SIGNED BY: ARC Chair, Board of

Directors Antoinette van Kuik

October 16, 2020

7. Form and contacts

7.1 Complaint Report Form

DATE:

Your name: _____

Supervisor: _____

Telephone & Email: _____

ARC WILL TREAT ALL REPORTS MADE UNDER THIS POLICY AS CONFIDENTIAL TO THE FULLEST EXTENT THAT IS CONSISTENT WITH CONDUCTING A FULL AND FAIR INVESTIGATION. ARC WILL EXERCISE CARE TO KEEP CONFIDENTIAL YOUR IDENTITY UNTIL A FORMAL INVESTIGATION IS LAUNCHED. AT THAT POINT, YOUR IDENTITY WILL BE DISCLOSED TO OTHER INDIVIDUALS ONLY TO THE EXTENT NECESSARY TO CONDUCT A COMPLETE AND FAIR INVESTIGATION.

Describe Reportable Activity:

Date you became aware of Reportable Activity: _____, 20__

Reportable Activity is: ☐ Ongoing ☐ Completed ☐ Unclear whether ongoing or completed

Region/Operation/Department suspected of Reportable Activity:

Individual(s) suspected of Reportable Activity:

How did you become aware of the Reportable Activity?

Describe steps, if any, you took prior to completing this Report Form (e.g., informed supervisor)

7.2 Contacts

Luke Wilson
CEO, A Rocha Canada
(298) 938 5355
Email: luke.wilson@arocha.ca

Romina Farrell
Operations Director, A Rocha Canada
(416) 540 9519
Email: romina.farrell@arocha.ca

Don Buckingham
Chair, Board of Directors A Rocha Canada
(613) 889 8804
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