



## Whistleblower Essentials

Jeff Bzowey, BA(Hons), CFE, CPP

# Headlines

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- **"Suicide bomber killed in Iraq part of wider jihadi base in Calgary"**  
- June 3, 2014 (CBC News)
- **"U of C graduate detained by Norway, accused of being Russian spy"**  
- October 25, 2022 (CBC News)
- **"Third-party investigation finds systemic issues, dysfunction at Leduc Fire Services"**  
- February 02, 2023 (CBC News)
- **"Auditor KPMG cries foul on incomplete City of Chestermere financials"**  
- February 21, 2023 (Calgary Herald)

# Establishing/Revamping a Whistleblower Program

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- External or Internal-Facing?
- Anonymous Reporting?
- Third-Party or In-House Reporting Platform?
- Structure?

# Report Parameters

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- **Anonymous/Confidential/Identified Reporter?**
- **Time Limit?**
- **Good Faith?**
- **Policy: Confidentiality, Reprisal/Retaliation Provisions**

# Handling Reports

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- Label Last!
- Timeliness
- Transparency
- Assessment
- Investigation

# Evaluating Effectiveness of a Program

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- Anonymous vs. Identified Reporters
- Reporter Continued Cooperation
- Complaints about the Program within Reports
- Corporate Surveys, Exit Interviews

# A Canadian Example: Financial Services Regulatory Authority (FSRA) of Ontario

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- FSRA launched on June 8, 2019, Whistle-blower Program on April 29, 2022
- Only accepts online submissions (through a third-party reporting platform)
- Whistle-blower is clearly defined
- Anonymous reports can be made through a lawyer

# Financial Services Regulatory Authority (FSRA) of Ontario – Continued

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- Legislated Protection from Reprisals (with specified fines/imprisonment and reverse onus clause imposed on person/entity alleged to have retaliated)
- Legislated Prohibition of Agreements (voiding Non-Disclosure Agreements)
- Legislated Protection from Civil Liability
- Legislated Confidentiality [including identity of a whistle-blower from an Ontario Freedom of Information and Protection of Privacy Act (FIPPA) Request]



# Questions

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# Contact

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Jeff Bzowey

[jeff@rootresolutions.ca](mailto:jeff@rootresolutions.ca)

587.284.2412

[www.rootresolutions.ca](http://www.rootresolutions.ca)