

**DISCLOSURE OF WRONGDOING CHECKLIST – DESIGNATED OFFICERS**  
**(for Use with the Act, the Procedures, and the Assessment Guidelines)**  
*(For disclosure received directly by Designated Officer, or through Supervisor.)*

	YES	NO
<b><u>Receipt of a Disclosure of Wrongdoing</u></b>		
<b>1. Disclosure in accordance with Section 12 of the Act?</b>	<input type="checkbox"/>	<input type="checkbox"/>
▪ <b>Marked to show date of receipt?</b>	<input type="checkbox"/>	<input type="checkbox"/>
▪ <b>Maintained in separate file?</b>	<input type="checkbox"/>	<input type="checkbox"/>
▪ <b>Maintained in secure manner and location?</b>	<input type="checkbox"/>	<input type="checkbox"/>
▪ <b>Protected from unauthorized access?</b>	<input type="checkbox"/>	<input type="checkbox"/>
▪ <b>Electronic record printed and deleted?</b> (No electronic forward, or response using “reply” option.)	<input type="checkbox"/>	<input type="checkbox"/>
<b>2. Am I the appropriate person to handle the disclosure of wrongdoing?</b>	<input type="checkbox"/>	<input type="checkbox"/>
▪ <b>Does the disclosure pertain to a matter within my department?</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b><u>If “no”:</u></b>		
➤ <b>Notification to disclosing employee, providing opportunity for withdrawal within 10 working days, and advising that employee may make disclosure to Ombudsman?</b>	<input type="checkbox"/>	<input type="checkbox"/>
➤ <b>Referral to Designated Officer of appropriate department, office or government body?</b>	<input type="checkbox"/>	<input type="checkbox"/>
▪ <b>Does review of the disclosure represent a conflict for the department or the Designated Officer?</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b><u>If “yes”:</u></b>		
➤ <b>Notification to disclosing employee, providing opportunity for withdrawal within 10 working days?</b>	<input type="checkbox"/>	<input type="checkbox"/>
➤ <b>Referral to Ombudsman?</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>3. Notification of Deputy Minister of disclosure and its nature?</b> (Unless disclosure involves Deputy Minister or Minister.) (Only providing as much information as necessary to convey nature of disclosure.)	<input type="checkbox"/>	<input type="checkbox"/>

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	YES	NO
<b>4. Discussion with disclosing employee?</b> (Within 10 working days.)	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>▪ <b>Determined how disclosing employee wishes to receive communication – written or verbal?</b> (All written information regarding the disclosure to be included in the disclosure file. All verbal information to be documented in writing in the file, and dated/ signed by the Designated Officer.)</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>▪ <b>Advised employee that disclosure information, including employee’s identity, will be protected and kept confidential to fullest extent possible</b> (subject to other Acts and the principles of procedural fairness and natural justice)?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>▪ <b>Advised employee that he/she has responsibility to protect information and identities related to the disclosure.</b></li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>▪ <b>If employee wishes to withdraw disclosure:</b> <ul style="list-style-type: none"> <li>➤ <b>Written request received?</b></li> <li>➤ <b>Employee advised that may make disclosure to Ombudsman?</b></li> <li>➤ <b>Disclosure file closed?</b></li> <li>➤ <b>Determination made whether further action is required, regardless of withdrawal?</b></li> </ul> </li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>

**Review of a Disclosure of Wrongdoing, and Decision regarding Action**

*(Every effort to be made to complete the review below within 30 working days of receipt of the disclosure.)*

<b>1. Does the disclosure allege a wrongdoing in accordance with the Act?</b>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>▪ <b>Was the disclosure made in good faith (Section 2)?</b></li> <li>▪ <b>Does it fall within categories of wrongdoing covered by the Act (Section 3) and represent a significant and serious matter?</b></li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>

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	YES	NO
<i>Does the disclosure allege a wrongdoing in accordance with the Act? (continued)</i>		
▪ <b>Did the employee have reasonable belief that the information could show wrongdoing has, or is about to be, committed?</b>	<input type="checkbox"/>	<input type="checkbox"/>
▪ <b>If “no” to any of the questions in #1 above, no further action is required:</b>		
➤ <b>Disclosing employee advised that no further action will be taken?</b>	<input type="checkbox"/>	<input type="checkbox"/>
➤ <b>Deputy Minister advised that no further action will be taken?</b>	<input type="checkbox"/>	<input type="checkbox"/>
➤ <b>Reason for determination, and any action(s) that has been/will be taken, documented in writing in disclosure file?</b>	<input type="checkbox"/>	<input type="checkbox"/>
➤ <b>Determination made whether further action is required, regardless of withdrawal?</b>	<input type="checkbox"/>	<input type="checkbox"/>
▪ <b>If “yes” to any of the questions in #1 above, determination of appropriate action is required:</b>		
➤ <b>Determination that an investigation is required?</b>	<input type="checkbox"/>	<input type="checkbox"/>
➤ <b>Deputy Minister advised that investigation is warranted?</b>	<input type="checkbox"/>	<input type="checkbox"/>
➤ <b>Determination if immediate action is required?</b>	<input type="checkbox"/>	<input type="checkbox"/>
➤ <b>Where appropriate, disclosing employee advised on a confidential basis that investigation will be undertaken?</b>	<input type="checkbox"/>	<input type="checkbox"/>
➤ <b>If necessary, outside legal advice arranged through Civil Legal Services for any person involved in the disclosure? (With care for confidentiality.)</b>	<input type="checkbox"/>	<input type="checkbox"/>

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**YES**                      **NO**

**Investigation of a Disclosure of Wrongdoing**

- |   |                          |                          |
|---|--------------------------|--------------------------|
| <b>1. If necessary, specialized assistance accessed to conduct investigation?</b>   | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>2. All persons involved with the investigation cautioned not to disclose any related information, except as required by law or in accordance with the principles of procedural fairness and natural justice?</b> | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>3. Alleged wrongdoer informed of nature of the disclosure, provided relevant information as required, and given an opportunity to reply to the disclosure?</b>   | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>4. Confidentiality of all information collected ensured; identities of disclosing employee, witnesses and alleged wrongdoer protected to the fullest extent possible?</b>  | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>5. Documentation of outcome of investigation included in disclosure file?</b>  | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li><b>▪ Recommendations or corrective actions to be taken, or reasons why no corrective action is being taken, included in file?</b></li> </ul>                                 | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>6. Disclosing employee, alleged wrongdoer, Deputy Minister advised of outcome of investigation (within 60 working days of completing investigation, unless extenuating circumstances)?</b>                       | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li><b>▪ Signed and dated note, confirming appropriate communication has occurred, included in disclosure file.</b></li> </ul>   | <input type="checkbox"/> | <input type="checkbox"/> |

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**YES                  NO**

**Where a Disclosure Has Been Made to the Public**

1. The questions under “Receipt of a Disclosure of Wrongdoing” (#1) apply.
2. Deputy Minister informed immediately upon receipt of disclosure (or disclosure file from supervisor)?  
  - Information on nature of alleged wrongdoing provided to Deputy Minister?
  - Determination of appropriate action made?
3. The questions under “Receipt of a Disclosure of Wrongdoing” (#2 to #4); under “Review of a Disclosure of Wrongdoing and Decision regarding Action” (#1); and under “Investigation of a Disclosure of Wrongdoing” (#1 to #6), apply as appropriate.