

# **ASCI Ethics Management Program – Whistle-blower Policy**

# The ASCI Ethics Management Program – Whistle-blower Policy

## VERSION HISTORY

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All changes made to this document must be detailed in the changelog table below and the document version number updated accordingly.

## DOCUMENT REVIEW

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This document will be reviewed annually by the Ethics Committee in conjunction with the relevant ASCI Staff to ensure validity and currency.

Date	Current Version	Detail of Change	Changed By
11 January 2021	0.01	Document Created	Rebecca Presgrave
11 February 2021	1.0	Approved by the committee for submission to the ASCI Board	Ethics Committee

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## 1 Complaints and Disciplinary System

### 1.1 Introduction

The Complaints and Disciplinary System's goal is to reinforce the ASCI Code of Ethics, to promote ethical behaviour and eliminate unethical behaviour. The enforcement procedures provide a process for receiving, investigating, and adjudicating allegations of a breach of the ASCI Code of Ethics. The objective is to engage in a process that is fair, transparent, responsible, and confidential.

The following procedures shall apply in respect to investigation and resolution of complaints or allegations concerning a breach of the Code – subject to any variation required to comply with provincial or territorial legislation.

#### 1.1.1 Receipt of Complaint

- 1) Complaints concerning an alleged violation of the Code must be filed with the ASCI Ethics Committee of which the subject of the complaint is a Member, and without undue delay and no more than two (2) years of the alleged violation or discovery of the alleged violation of the Code.
- 2) To be considered by the ASCI Ethics Committee, a complaint must be made in writing, signed by an individual and sent to Chair of the ASCI Ethics Committee.
- 3) Complaints will be treated as strictly confidential. At the investigation stage, as part of the investigation into the complaint complaints will only be disclosed to (a) the ASCI Ethics Committee; and (b) the respondent.
- 4) Within seven (7) business days of receiving a complaint, the ASCI Ethics Committee will send (a) a written acknowledgment of receipt to the complainant; and (b) written notice to the respondent of the nature of the complaint and the resulting investigation.

#### 1.1.2 Investigation

- 1) The ASCI Ethics Committee will conduct an investigation and prepare a report within one hundred and twenty (120) calendar days of receiving a formal complaint, including the opportunity for the respondent to submit a response to the complaint. This process may include multiple steps according to the policies/procedures established by ASCI.
- 2) The ASCI Ethics Committee will, within thirty (30) calendar days of the conclusion of its investigation, or as soon as is practicable, present its report to the ASCI Board. The report will include the nature of the complaint and the decision regarding the disposition of the complaint, and any sanction to be applied.
- 3) The ASCI Ethics Committee will then send the decision to the respondent the complainant.

#### 1.1.3 Appeals

- 1) The complainant and the respondent have the right to appeal the ASCI Ethics Committee decision to the applicable ASCI Board of Directors on the basis of the ASCI Ethics Committee's failure to follow published criteria, policies, or procedures, or on the basis of a material mistake of fact.
- 2) Requests for appeal must be made in writing to the Board within thirty (30) days of the decision's notification. If an appeal is requested, the Chair of the ASCI Board will send a copy of the request for appeal to the complainant or respondent. The ASCI Board will convene a special meeting of the ASCI Board with the complainant, the respondent all other persons who could have relevant information about the case.
- 4) The ASCI Ethics Committee will issue its decision as soon as is practicable, but no later than thirty (30) calendar days from the date that the request for appeal was filed with the Institution/Corporation

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Officer (unless otherwise agreed to by the complainant and respondent. The decision of the ASCI Board is final and without appeal. A copy of the ASCI Board's decision will be sent to the Chair of the ASCI Ethics Committee whom will then send the decision to (a) the respondent (b) to the complainant.

## 1.2 Standards regarding Confidentiality

All parties involved in the ASCI Ethics Complaints Management Process (ECMP) must maintain strict standards regarding confidentiality. In this document, the term Confidential Information means all information in any form or medium relating to a Complainant or a Respondent, their family, support persons, witnesses, or workplace, and pertains to all materials and proceedings, including the respondent's written response, the hearing, the ASCI Ethics Committee Report, appeals, discussions, associated correspondence, and outcomes.

The restrictions do not apply to:

- A party's right to confer with legal counsel
- A party's right to submit the same complaint to another complaint system or organisation. If you wish to submit the same (or similar) complaint to another body, you are permitted to use the content/information you already had about the matter. You are not permitted to use any information relating to the ASCI's investigation and determination of the complaint.

## 1.3 Disciplinary Structure

### 1.3.1 Sanction

Members must be held accountable for any breach of the ASCI Code of Ethics. Depending on factors such as the nature of the breach, its impact upon the profession and/or thandic and/or the repetitive nature of the conduct, sanctions may include, in order of gravity:

- 1) Reprimand: A formal, written notice that the respondent's conduct violated the Code.
- 2) Letter of Censure: A letter sent to the respondent the ASCI National Office. Censured members may not hold any ASCI Position, including volunteer positions, for a period of one year from the time a decision is reached on the issue.
- 3) Suspension: A letter sent to the respondent's Institution or Corporation and the ASCI National Office. Suspended members are barred from all ASCI activities for up to five (5) years (depending on the circumstances and the gravity of the complaint).
- 4) Expulsion, withdrawal of ASCI Registration Credentials: An announcement of expulsion, in line with the relevant clauses in the ASCI Constitution, and loss of credentials will be included in the ASCI Public Register as deemed appropriate and subject to relevant legislation and by-laws governing the applicable Institution or Corporation. This is the only sanction with public notice. Expelled members are barred from all ASCI activities.

A Member subject to any sanction level will have that outcome noted in her/his membership file, which will be accessible to all ASCI administrators.

### 1.3.2 Master File

Once a complaint process has been completed (whether dismissed or sanctions applied), a no-names report of the process will be filed with the national office to serve as a reference for precedents and consistency in the enforcement of the Code across the country. The report will include the following:

- 1) Relevant dates

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- 2) Nature of the complaint
- 3) Description of the process
- 4) Decision of the Institution/Corporation
- 5) The name of the person sanctioned, if sanctions were imposed
- 6) Whether or not an appeal was launched and the result of the appeal.

The Institution/Corporation Officers, ASCI Ethics Committee and Board of Directors are able to request access to the records on a confidential basis as a reference when reviewing complaints and/or appeals.

## 2 Guidelines for Submitting a Complaint

### 2.1 Purpose of ASCI Code of Ethics

The ASCI Code of Ethics is the core document which informs and guides the ethical practice of Supply Chain Management in Australasia. It upholds 'best practice' principles and guides Members in attaining the highest professional standards.

To this end, the objectives of the Code of Ethics include:

- 1) To identify the values which underpin ethical Supply Chain Management
- 2) To provide a guide and standard for ethical Supply Chain Management conduct and accountable service delivery
- 3) To provide Supply Chain Managers with a foundation for ethical reflection and decision making

### 2.2 ASCI Ethics Complaints Management Process

By contrast, the purpose of the ASCI Ethics Complaints Management Process (ECMP) is to protect the public by determining minimum acceptable ethical standards of Supply Chain Managers. ASCI is concerned and takes such matters seriously when a Supply Chain Manager's conduct falls below this minimum standard.

The primary purpose of ASCI's Ethics Complaints Management Process (ECMP) is:

- 1) To protect the public, in the context of Supply Chain Management, from harm
- 2) To address allegations of serious ethical misconduct
- 3) To educate and support Supply Chain Managers to ensure that they meet and exceed the minimum standard where possible.

To this end, the Code of Ethics also provides a reference for the ASCI to consider allegations of serious ethical misconduct. All complaints are taken seriously and given careful and respectful consideration. Every complaint received is subject to some level of review and response. ASCI's response to a complaint depends on the level of seriousness of the alleged ethical misconduct. ASCI can only respond to complaints which relate to allegations of serious ethical misconduct.

### 2.3 What is Serious Ethical Misconduct?

Ethical misconduct can vary from serious to less serious. Using the Code of Ethics as the point of reference, the ASCI considers a range of factors when determining the level of seriousness of an allegation against a Member. If it is determined that an allegation meets the threshold for serious

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ethical misconduct, a complaint can be received through the Ethics Complaints Management Process.

For example, the following are the type of matters which may be considered serious ethical misconduct:

- 1) The complaint alleges serious harm caused to the complainant or another person
- 2) The complaint alleges a serious professional boundary violation, such as any form of bullying, harassment or unlawful conduct or discrimination towards a former or current client
- 3) The complaint alleges that the Supply Chain Manager has worked outside their area of competence
- 4) The complaint alleges a serious conflict of interest
- 5) The complaint alleges a serious confidentiality breach
- 6) The complaint alleges exposure to the serious risk of harm, which may include issues of public safety
- 7) The complaint alleges serious poor practice, which may include exploitation for personal or financial gain
- 8) The complaint alleges behaviour which would discredit or reduce confidence in the Supply Chain Management profession amongst members of the general public, in a way that is not minor or trivial in nature

The following are the types of matters which are unlikely to be considered serious ethical misconduct:

- 1) The complaint relates to allegations which a reasonable person may consider to be vexatious or frivolous (see Section 4 below, regarding vexatious and frivolous complaints)
- 2) The complaint relates to allegations which a reasonable person may consider to be a poor business practice
- 3) The complaint relates to a matter which a reasonable person may consider to be a misunderstanding
- 4) The complaint relates to a matter which a reasonable person may consider to be an unreasonable expectation of a Supply Chain Manager
- 5) The complaint relates to allegations which should be determined by another body (e.g., Legal matters)
- 6) The complaint relates to organisational conflict or conflict between colleagues and/or students.

It is the role of the ASCI Ethics Committee and/or the Chair of the ASCI Ethics Committee, as appropriate, to determine, in their absolute discretion, whether a complaint meets the threshold for serious ethical misconduct.

Complaints deemed to be below the threshold for serious ethical misconduct and therefore not appropriate for consideration under the Ethics Complaints Management Process, may be considered through other dispute resolution processes. Where ASCI assesses that the ECMP is not the most appropriate complaints body, ASCI may refer the complainant to a more appropriate body in the first instance.

## 2.4 What are Vexatious or Frivolous Complaints?

ASCI will treat all complaints as having been made in good faith unless there are reasonable grounds to believe otherwise.

The ASCI Ethics Complaints Management Process can only receive complaints which relate to allegations of serious ethical misconduct. Refer to paragraph 1 above.

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Occasionally matters brought to ASCI may be deemed to be vexatious or frivolous or not in the spirit or for the purpose of the Ethics Complaint Management Process. ASCI cannot receive complaints which are deemed to be vexatious or frivolous in nature.

The Chair of the ASCI Ethics committee may determine, in his or her absolute discretion, whether a complaint is vexatious or frivolous, and may immediately dismiss complaints which are deemed to be so.

ASCI applies a "reasonable person" approach to determining whether a complaint is vexatious or frivolous. By "reasonable person" it is meant that ASCI exercises empathy, skill, and judgement to assess how a typical person would act in certain circumstances.

ASCI needs to be able to make a judgement about these matters, and the kind of factors considered when determining if a complaint is vexatious or frivolous include:

- 1) Does the complaint involve the persistent pursuit of a particular person, allegation, or outcome, even though reasonable consideration has already been given to the matter?
- 2) Does the complaint serve only to cause annoyance, disruption, or harassment?

In considering such issues, ASCI also considers the complainant's perspective and does not apply stereotyped notions of acceptable behaviour. If ASCI dismisses a complaint on the grounds that it is vexatious or frivolous, this decision is final and cannot be appealed by the complainant.

## 2.5 Submitting a Complaint

ASCI treats all complaints seriously and gives each matter careful and respectful consideration.

ASCI recognises that reaching a decision and proceeding to make a formal complaint can be very difficult and stressful. We also recognise that making a formal complaint can be a time-consuming process.

This information sheet is designed to:

- 1) assist you with the process of making a complaint
- 2) ensure that the ASCI Ethics Complaints Management Process (ECMP) is the right process to address your particular concerns
- 3) ensure that you have all the required information about the ECMP prior to proceeding
- 4) encourage you to contact us if you have any questions about the complaints process
- 5) ensure that matters are addressed in as prompt a manner as possible.

## 2.6 Prior to making a Complaint to the ASCI

Some concerns can be dealt with by the Chair of the Ethics Committee directly. This may prevent a matter escalating unnecessarily and can result in your concerns being addressed more quickly than through other formal complaint processes.

ASCI acknowledges that it may not be safe or appropriate to attempt to resolve some matters directly with the Chair of the Ethics Committee, particularly those matters involving serious ethical misconduct. For example, if your concerns are of a criminal nature, then we recommend that you notify the police.

However, where it is safe and appropriate to do so, ASCI recommends the following actions in the first instance:

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- 1) Contact the Chair of the Ethics Committee directly. For example, this may be appropriate where you would like him/her to explain something that you didn't understand or complete a service which has already begun.
- 2) If contacting the Chair of the Ethics Committee directly does not resolve your concerns, and if the Chair of the Ethics Committee works for an organisation implicated in the complaint, contact any member of the ASCI Board of Directors.

### **2.7 Appointment of a Nominated Person**

If you are the client/person directly affected in this matter, and you want to nominate a person to make this complaint on your behalf, you will need to download, complete, and sign the "Appointment of a Nominated Person" form below.

### **2.8 Further Information**

Potential complainants are required to complete a checklist prior to submitting a complaint, see downloadable checklist below. This will assist complainants in assessing whether the matter is one for consideration by the ASCI Ethics Committee.

ASCI can provide information and guidance about the Ethics Complaints Management Process and can also provide further information and guidance about serious ethical misconduct. Complainants are strongly encouraged to contact the ASCI CEO for a confidential discussion on available options for the best process for resolving concerns, prior to submitting a complaint.

## 3 Appendix 1: Complaints Form

### 3.1 Note to Submitting a Complaint

ASCI strongly recommend that you save this form to your computer before you begin, regularly save the document as you complete it and then email the completed form along with any attachments to [ethics@asci.org.au](mailto:ethics@asci.org.au)

ASCI is best able to respond to complaints about ASCI Members when we have all the appropriate information. This form covers the information we need; however, any other relevant documents can be included.

### 3.2 Details of the person making the complaint (the complainant):

Preferred title:

Mr  Mrs  Ms  Miss  Dr  Other

Full name:

Address:

Town/Suburb:

State:

Postcode:

Work phone:

(include area code)

Mobile phone:

Home phone:

(include area code)

Email:

Are you making this complaint on behalf of someone else?

No, I am making this complaint on behalf of myself.  Yes

If yes, you will need the permission of the person directly affected by the matter to authorise you to make the complaint on their behalf. Please complete and submit the form included for this purpose in the "ASCI Guidelines for the Submission of a Complaint".

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Details of the person about whom the complaint is being made (the respondent)

Full Name:

Place Employed:

Position:

Telephone (if known):

Work Phone:

Mobile Phone:

Email:

### 3.3 Other Authorities

Have you submitted this complaint to any other person or organisation?

No  Yes

If yes, please provide the name of the person or organisation, and outcome (if available):

### 3.4 Before Making the Complaint

All complainants are strongly encouraged to contact the ASCI CEO for a confidential discussion on available options for the best process for resolving concerns, prior to submitting a complaint. Please contact [ethics@asci.org.au](mailto:ethics@asci.org.au) or telephone 1300 557 175

In order to submit a complaint, please confirm the following:

- I have read and understood the Guidelines for the Submission of a Complaint regarding serious ethical misconduct including vexatious or frivolous complaints
- I have completed the Checklist for Complainants, prior to submitting an ethics complaint

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## 3.5 The Complaint

Which part of the ASCI Code of Ethics does your complaint relate to? (tick which ones apply)

	<u>3.5.1</u> <i>Standards of Conduct</i>
	1) Avoidance of conflicts of interest
	2) Protection of confidential or sensitive information
	3) Business relationships
	4) Gifts, gratuities, and hospitality inducements
	5) Environmental and social responsibilities
	6) Freedom of expression
	<u>3.5.2</u> <i>Professional Principles</i>
	1) Professional competency
	2) Professionalism
	3) Honesty and integrity
	4) Responsible management
	5) Serving the public good
	6) Compliance with legal obligations
	<u>3.5.3</u> <i>Member Compliance</i>
	1) Membership obtained through Misrepresentation
	2) Admission to Membership
	3) Detrimental Actions
	4) Evidence of Professional Misconduct
	5) Discrimination and Harassment

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### 3.6 Details of the Complaint

Please describe what happened or what you are concerned about, including the place, date, and time the events occurred.

Make your description factual, with as much detail as possible, including the type of service you went to see the social worker for and the names and contact details of any witnesses (with their consent).

Wherever possible, please detail which sub-sections of the Code of Ethics you believe your complaint specifically relates to, e.g., if you ticked any section referenced in the ASCI Code of Ethics, please detail which sub-sections of the section, you are asking the ASCI to consider. You will need to refer to a copy of the ASCI Code of Ethics when preparing your complaint. It is important that you include all information that is relevant as it will not be possible to include new information if you decide to lodge an appeal in the future. Please attach any other documents which may be useful and relevant and/or add extra pages if you need them.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name (please print): \_\_\_\_\_

Position: \_\_\_\_\_

Organisation: \_\_\_\_\_

Privacy Notice: \_\_\_\_\_

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## 3.7 Document Release

ASCI adheres to the Australian Privacy Principles. In submitting this form, you should understand that you are submitting a formal complaint to the ASCI. You are asking that the ASCI investigate this complaint. You should understand that your complaint (and any attached documents) will be sent to the person you are complaining about (the respondent), any potential witnesses who might assist the ASCI with its investigation. By submitting this complaint, you give permission for the respondent if applicable, any relevant person and/or potential witnesses) to provide the ASCI with any relevant information regarding your complaint, which might include personal and sensitive information about you. Personal and sensitive information will only be collected and used by the ASCI to the extent that is necessary to fully investigate your complaint and decide on an appropriate course of action.

You should understand that the ASCI, upon investigating your complaint, may decide that a course of action which is different to your preferred outcome, is appropriate. This may include referring the matter to a hearing before a Hearing Panel. Hearings are recorded. If you have any concerns about the collection, use or disclosure of personal information please contact the ASCI.

## 3.8 Confidentiality Notice

The Details of the Complaint:

All parties involved in the ASCI Ethics Complaints Management Process (ECMP) are required to maintain strict standards regarding confidentiality. In submitting this form, I understand that I must also read, sign, and submit the ASCI Confidentiality Agreement.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Emailing or submitting this form online will replace your signature. ASCI will contact you within approximately 2 working days to confirm receipt of your complaint. If you haven't been contacted within this time, please contact the ASCI CEO as it may mean that your form was not delivered successfully.

Please save and send your completed form (and if relevant, any other documents) to the ASCI either by email to [ethics@asci.org.au](mailto:ethics@asci.org.au) or by post to Level 7, 91 Philip Street, Parramatta, NSW, 2150.

## 4 Appendix 2: Confidentiality Agreement

### 4.1 Parties

All parties involved in the ASCI Ethics Complaints Management Process (ECMP) are required to maintain strict standards regarding confidentiality. In this agreement the term Confidential Information means all information in any form or medium relating to a Complainant or a Respondent, their family, support persons, witnesses, or workplace, and pertains to all materials and proceedings, including the respondent's written response, the hearing, the ASCI Ethics Committee Report, appeals, discussions, associated correspondence, and outcomes.

The restrictions do not apply to:

- A party's right to confer with legal counsel
- A party's right to submit the same complaint to another complaint system or organisation. If you wish to submit the same (or similar) complaint to another body, you are permitted to use the content/information you already had about the matter, but you are not permitted to use any information relating to the ASCI's investigation and determination of the complaint.

In order to participate in the ASCI ECMP, all parties are required to sign the following Confidentiality Agreement.

### 4.2 Statement of Understanding

- I understand, accept, and will respect the confidential nature of all my dealings in relation to the ECMP
- I will keep the Confidential Information secret and confidential at all times
- I will not use the Confidential Information except to carry out the responsibilities of my role as a participant in this matter
- I will not disclose any Confidential Information to anyone except those members/consultants of the ASCI who need to receive that information for the Ethics Complaints Management Process, and then only to the extent needed for each such person
- I will not copy or distribute, to any person or organisation, any documents, materials, media, or other things recording, containing, setting out or referring to any Confidential Information
- My obligations set out in this agreement continue beyond my role in the ASCI ECMP

### 4.3 Alleged Breaches of Confidentiality

Either party to a complaint may inform the ASCI Ethics Committee and/or National Ethics Panel and/or National Ethics Officer that he or she believes information is being revealed unnecessarily. The ASCI may then take whatever action it deems appropriate to remedy the concern.

Breaches of confidentiality may result in letters of warning, a termination of proceedings, or the voiding of the process. A decision to terminate proceedings may be appealed by either participant.

- Breaches of confidentiality by a Respondent may result in a new complaint filed against the respondent re relevant sections of the ASCI Code of Ethics.
- If the ASCI Ethics Committee determines that the complainant has breached confidentiality the ASCI Ethics Committee may demand that, within ten (10) days of the complainant's receipt of the demand letter, all confidential materials must be immediately removed from the sources to which they were given or made unavailable for use by any other source. Proof of the actions taken to withdraw or

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have documents sealed must be sent to the ASCI Ethics Committee. If such proof is not delivered to the ASCI Ethics Committee within thirty (30) days of the date of the demand letter, the ASCI Ethics Committee may take action to terminate or void the ECMP process.

## 4.4 Exceptions

### 4.4.1 Research purposes

ECMP data may be accessed by approved researchers and reported in aggregate form. The ASCI Ethics Committee must approve research by following review of research proposals from qualified researchers. Any information that may identify, will be removed from any shared data.

### 4.4.2 Acquiring relevant evidence

If an Investigator is appointed, it is in participants' best interests to cooperate with the Investigator. Participants may disclose information that is directly relevant to the purpose for which the disclosure is made.

Disclosure of involvement by respondent to issuance of the ASCI Ethics Committee or Appeal Panel Final Report. Respondents may acknowledge their involvement in ECMP when required to do so by employers, insurers, and others who have a legitimate need to know in order to make decisions that can affect the respondent's ability to practice. Under such circumstances, the respondent will provide no more than the minimal necessary information. Minimal necessary information may include acknowledgment of the existence of an ethics complaint, a summary of the allegations, an explanation of the status of the proceedings, and a copy of the respondent's response (if submitted) to the allegations contained in the complaint. All identifying information regarding parties, sources of evidence, and witnesses must be obscured.

### 4.4.3 Disclosure of ASCI Ethics Committee conclusions

Respondents may report the conclusions of a ASCI Ethics Committee or Appeal Panel when required to do so by employers, the ASCI Ethics Committee or Appeal Panels, insurers, and others who have a legitimate need to know in order to make decisions that can affect the respondent's ability to practice. Under such circumstances, the respondent will provide no more than the minimal necessary information. Minimal necessary information is defined as these sections of the Final Report: the summary of the complaint and the Summary of Findings and Penalties. All identifying information regarding parties, sources of evidence, and witnesses must be obscured.

### 4.4.4 Disclosure of ASCI Ethics Committee conclusions to support people and/or witnesses

The Complainant or Respondent may inform support people and/or witnesses who participated in the ECMP at their request of the outcomes. Support people and/or witnesses are expected to keep this information confidential.

### 4.4.5 Applicable State or Federal Law

Information regarding ASCI ECMP proceedings may be released when disclosure is required by state or federal law or regulation. For example, where the ASCI Ethics Committee assesses that compelling ethical or legal reasons prevail, such as issues of harm to self or others, or if issues arise which, under law, must be disclosed. If you are concerned about something of this nature, for example, an issue of harm to yourself or someone else, you should raise this with a member of the ASCI Ethics Committee and/or the Chair of the ASCI Ethics Committee immediately.

### 4.4.6 Other

The only other exception is information that is in the public domain, other than as a result of a breach of the contents of this agreement information that is already known to me as a result of disclosure

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by another source which was not, to the best of my knowledge, subject to any agreement for confidentiality.

## 4.5 Use of confidential information during the ECMP

### 4.5.1 Complainant's agreement to release confidential documents

By engaging in this process, the complainant agrees to release confidential records for review by the ASCI Ethics Committee who will determine if that evidence will be used in the proceedings.

### 4.5.2 Documents submitted as evidence by either participant

Any confidential documents submitted as evidence must be accompanied by a signed release of information.

### 4.5.3 Discussion of pertinent confidential records

The complainant's complaint represents permission for the ASCI Ethics Committee, Respondent, and if applicable, an Appeal Panel, to discuss confidential records approved for consideration at the hearing.

## 4.6 Signature

I understand and agree to abide by this Confidentiality Agreement as set forth above and will treat all associated materials and processes confidentially.

I understand that the ASCI may contact me for evaluation purposes following the completion of the ECMP.

I understand that I may decline to participate in any evaluation activity.

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## The ASCI Ethics Management Program – Whistle-blower Policy

### 5 Appendix 3: Checklist to Complete before Submitting a Complaint

CHECKLIST FOR SUBMITTING A COMPLAINT		
HAVE YOU?	YES/NO	ASCI RECOMMENDED ACTION
Have you confirmed that the Supply Chain Manager is a current member of the ASCI and was a member at the time of the alleged incident?		If YES, please proceed. If NO, please contact the ASCI to obtain this information.
Did the matter of your complaint occur within the last 2 years? If YES, please proceed. If NO, please contact the ASCI to discuss.		
Have you read the ASCI Code of Ethics and understood the ASCI Ethics Complaints Management Process?		If YES, please proceed. If NO, please read the ASCI Code of Ethics before proceeding, and contact the ASCI if you have any questions.
Have you read the section regarding Serious Ethical Misconduct?		Please read the relevant section, then contact the ASCI to discuss your complaint before proceeding.
Have you read the section regarding vexatious and frivolous complaints?		If YES, and if your complaint is not of a vexatious or frivolous nature, please proceed. If NO, please read before proceeding, and contact the ASCI if you have any questions.

## 6 Appendix 4: Appointment of a Nominated Person

I, \_\_\_\_\_ of \_\_\_\_\_  
Town/Suburb: \_\_\_\_\_ State: \_\_\_\_\_ Postcode: \_\_\_\_\_

**appoint** the nominated person (below) to make this complaint on my behalf. In making this authorisation, I confirm:

- 1) That I understand that the nominated person is making a formal complaint on my behalf to the Australasian Supply Chain Institute (ASCI) and that I am asking the ASCI to investigate this complaint.
- 2) That I have read and understand all the complaint materials that the nominated person is submitting on my behalf.
- 3) That the complaint materials are a true and accurate record of my experiences in relation to this complaint.
- 4) That I understand that the respondent will be advised of my name and that I have authorised the nominated person to make this complaint on my behalf. I understand that my address and any other contact details for me will not be provided to the respondent.
- 5) That I understand that the respondent may call any potential witness, who might assist the ASCI with its investigation, will be provided with a copy of all complaint documents that my nominated person submits to the ASCI.
- 6) That I give permission for the respondent and if applicable, any relevant person and/ or witness, to provide the ASCI with any relevant information in order to respond to this complaint, which might include personal and sensitive information about me.
- 7) That I understand that the ASCI may need to contact me directly for further information or may need to request my participation in an investigation and/or hearing, should the ASCI deem this to be necessary in order to investigate this complaint.
- 8) That I authorise the ASCI to address all correspondence relating to this complaint to my nominated person.
- 9) That I have signed the ASCI Confidentiality Agreement.

Name of the client/person directly affected by complaint:

Signature:

Name of nominated person:

Signature:

Date: